DOCUMENT RESUME

ED 424 822 HE 031 676

AUTHOR	Licata, Christine M.; Morreale, Joseph C.
TITLE	Post-Tenure Review: Policies, Practices, Precautions. New Pathways: Faculty Career and Employment for the 21st Century Working Paper Series Inquiry #12.
INSTITUTION	American Association for the Advancement of Science, Washington, DC.
PUB DATE	1997-00-00
NOTE	85p.; For related documents, see HE 031 666-678.
AVAILABLE FROM	American Association for Higher Education, One Dupont Circle, Suite 360, Washington, DC 20036-1110; phone: 202-293-6440, ext. 11; fax: 202-293-0073 ($8.50 members, $10 nonmembers; subscription to all 14 papers: $120 members, $140 nonmembers).
PUB TYPE	Opinion Papers (120) -- Reports - Evaluative (142)
EDRS PRICE	EDRS Price MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	*College Faculty; Employment Qualifications; *Faculty College Relationship; *Faculty Evaluation; *Faculty Promotion; Higher Education; Institutional Administration; Personnel Policy; Policy Formation; Promotion (Occupational); Strategic Planning; *Tenure; *Tenured Faculty
IDENTIFIERS	*Post Tenure Review

ABSTRACT

This working paper, one in a series about the priorities of the professoriate, explores what is known about campus initiatives with post-tenure review. Part 1 reviews institutional and systemwide policies and outlines operational characteristics, unifying principles, and implementation strategies. The information was gathered from published reports, a review of more than 100 individual policies, and interviews with system administrators, campus officials, and faculty leaders. Part 2 profiles the efforts of nine campuses in implementing post-tenure review, focusing particularly on individual policies in the context of institutional mission and history, implementation of the policy, and an examination of the lessons learned along the way. Information in this section was derived from telephone interviews with campus officials. The schools profiled are: Colby-Sawyer College (New Hampshire), Eastern New Mexico University, Georgia State University, Ithaca College (New York), Old Dominion University (Virginia), University of Colorado-Colorado Springs, University of Hawaii-Manoa, University of Michigan-Dearborn, and the University of Wisconsin-Madison. The report concludes with some general observations and recommendations for the future. Appended to the document are two lists (reference details about the policies cited in the text, and a list of institutions whose policies were reviewed but were not cited in the text.) (Contains 36 references.) (CH)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

Working Paper Series

ED 424 822

Post-Tenure Review

Policies, Practices, Precautions

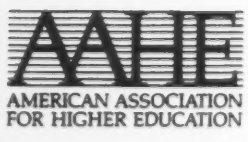
By Christine M. Licata
Associate Dean for Academic Affairs,
Rochester Institute of Technology/
National Technical Institute for the Deaf

and

Joseph C. Morreale
Vice Provost for Planning, Assessment, and Institutional Research
and Professor of Public Administration,
Pace University

INQUIRY # 12

HE 031 626



U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

PERMISSION TO REPRODUCE AND
DISSEMINATE THIS MATERIAL IN MICROFICHE
AND IN ELECTRONIC MEDIA FOR ERIC
COLLECTION SUBSCRIBERS ONLY
HAS BEEN GRANTED BY

AAHE

2A TO THE EDUCATIONAL RESOURCES
INFORMATION CENTER (ERIC)

NEW PATHWAYS: FACULTY CAREERS AND EMPLOYMENT FOR THE 21ST CENTURY
A PROJECT OF THE AMERICAN ASSOCIATION FOR HIGHER EDUCATION

BEST COPY AVAILABLE

About the Authors

Christine M. Licata has been the associate dean for academic affairs at Rochester Institute of Technology/National Technical Institute for the Deaf since 1993. Previously, she held faculty and administrative positions including department chair, division director, and assistant dean within RIT/NTID and at Monroe Community College, Montgomery College, and the City School Districts of Rochester and Buffalo, NY. Her research interests focus on faculty evaluation and strategic planning, and she is widely known for her publications and work in the area of post-tenure review. She holds a B.S. and an M.A. from Canisius College and an Ed.D. in higher education from George Washington University.

Joseph C. Morreale is the vice provost for planning, assessment, and institutional research and professor of public administration (economics) at Pace University. He completed the research for this paper while an American Council on Education fellow at the University of North Carolina at Charlotte. He has held administrative positions as chair of a multicampus department, consisting of a graduate program in public administration and undergraduate programs in criminal justice and human services, at Pace University and as division chair of social sciences and humanities at Bard College. His research interests in higher education focus on faculty development and assessment, multicampus administration, and strategic planning and resource allocation in university systems. He holds an M.A. and a Ph.D. in economics from the State University of New York at Buffalo and an M.S. in higher educational administration and finance from the State University of New York at Albany.

About the New Pathways Working Paper Series

The Forum on Faculty Roles & Rewards is a special program of the American Association for Higher Education (AAHE). It works with faculty leaders, senior academic administrators, trustees, legislators, and others interested in refocusing faculty priorities to address pressing institutional and societal needs.

To advance this agenda, AAHE initiated a project called "New Pathways: Faculty Careers and Employment for the 21st Century." The New Pathways Working Paper Series addresses key issues related to changing faculty careers and employment arrangements; the series consists of 14 papers to be released during 1996-1997.

The American Association for Higher Education is a national, individual-membership organization that brings people together — across hierarchies, sectors, and disciplines — in the common cause of improving the quality of higher education.

Any opinions expressed in this Inquiry are those of its author(s) and do not necessarily represent those of AAHE's members, nor does publication necessarily imply their endorsement by the Association.

© 1997 American Association for Higher Education. All rights reserved. Printed in the United States of America.

Ordering Information

Additional copies of this Inquiry or the complete, fourteen-Inquiry Working Paper Series package (to be released over 1996-1997) can be purchased using the order form found on the last page of this paper, or by contacting:

American Association for Higher Education
One Dupont Circle, Suite 360
Washington, DC 20036-1110
202/293-6440 x11, fax 202/293-0073

Reprint Permission

AAHE's New Pathways project has as one of its missions to disseminate information and foster discussion. With that purpose in mind, AAHE grants to the purchaser of this Working Paper permission to photocopy and distribute it.

Design by Kerrie Kemperman

FOREWORD

In 1992, AAHE entered into the growing national debate about the priorities of the professoriate by establishing the Forum on Faculty Roles & Rewards — a program that sponsors an annual national conference, issues publications, and serves as a general clearinghouse. Thus, when tenure surfaced in the spring of 1994 as a major issue of conversation and media attention, we became an interested party in the discussion.

On reflection, we decided that what was needed was not another familiar debate about the pros and cons of tenure but a new dialogue — a dialogue in which tenure was placed in a larger context of fresh thinking about two questions: What career paths make sense for the professoriate of the 21st century? What varieties of employment arrangements might most appropriately undergird these paths?

We also concluded that what might best help campuses work through these questions was not more philosophical argument but concrete options: practical ideas about new career paths and imaginative employment arrangements that campuses could try on for size.

AAHE's New Pathways project seeks to carry out that agenda. Project activities include (1) sponsoring forums to advance the dialogue; (2) serving as a general clearinghouse; and (3) initiating investigations into selected, particular issues.

Central direction for the project is provided by a three-person team: R. Eugene Rice, director of AAHE's Forum on Faculty Roles & Rewards; Richard Chait, professor of higher education, Harvard Graduate School of Education; and Judith Gappa, professor and vice president for human relations at Purdue University. Richard Chait's part of the project, which focuses on creative employment arrangements, is supported by a generous grant from the Pew Charitable Trusts.

The project team in turn benefits from the wise counsel of a four-person national advisory panel: Richard Lyman, president emeritus, Stanford University (chair); Andrew Hurwitz, attorney; Ejner Jensen, professor of English and special counsel to the president, University of Michigan; and Linda Wilson, president, Radcliffe College.

We wanted to make our own investigations quickly available in a form that was affordable, easily duplicated, and suggestive of what they really are: works in progress, intended to stimulate and enrich further discussion.

Russell Edgerton

President, American Association for Higher Education

March 1996

About This Report

This Working Paper explores what is known and unknown about campus initiatives with post-tenure review.

Part 1 reviews institutional and systemwide policies and outlines operational characteristics, unifying principles, and implementation strategies. The practices and issues discussed in this section are based on information gathered from published reports; a review of more than 100 individual policies; and interviews with system administrators, campus officials, and faculty leaders.*

Part 2 profiles how nine campuses are implementing post-tenure review. The goal of the profiles is to describe individual policies in the context of institutional mission and history, examine how implementation was accomplished, and discuss lessons learned along the way. The profile data and descriptions are intended to be examples of theory-in-practice and not necessarily model practices. All information in the profile section was extracted from transcripts of telephone interviews with campus officials, then verified and approved exactly as it appears here by those same campus contacts.

Following Parts 1 and 2 are two useful lists: **Institutional Policies Cited** provides reference details about policies cited in our text. In addition, in the course of our study we reviewed policies from three dozen other institutions; these we list in **Institutions Whose Policies Were Reviewed But Not Cited.**

While this paper is not exhaustive, it does sketch out important trends, activities, and issues. It is a work-in-progress because of the unanswered questions that remain — questions that deserve continued attention. We learned much from following both in-process deliberations and campus experiences as they unfolded in various settings, and we thank the many reflective practitioners and policymakers who talked with us. Their willingness to share information and insights is greatly appreciated and helped fashion the content of this report and the recommendations we advance.

---

* In November 1995, in a "Dear Colleague" memorandum to 1,200 four-year college and university provosts, AAHE solicited materials in an effort to build an archive of information on current tenure polices, practices, and trends. Data on post-tenure review was one component of the information sought. More than eighty institutions responded by sending information related specifically to post-tenure review policies. Information from those policies was used for this report.

Post-Tenure Review: Policies, Practices, Precautions**

by Christine M. Licata and Joseph C. Morreale

Interest in and debate over post-tenure review are intense. While the issues on the minds of state legislatures, policymakers, and trustees differ from region to region, the underlying theme is a heightened focus on quality and outcomes. Driven in large part by shrinking budgets, spiraling costs, the need for greater flexibility, and the elimination of mandatory retirement, institutions are being forced to reexamine their expectations regarding faculty responsibilities, performance, rewards, and long-term career development. On some campuses, this has led to conversations about the utility and benefit of tenure.

Most institutions evaluate tenured faculty members for the purposes of salary and merit adjustments, promotions, teaching awards, sabbaticals, grants, graduate faculty status, and the like. But post-tenure review, as we know it today, goes well beyond these traditional review methods. In today's climate, post-tenure review usually means a systematic, comprehensive process, separate from the annual review, aimed specifically at assessing performance and/or nurturing faculty growth and development. This process is initiated periodically for *all* tenured faculty, or for *certain* tenured faculty as a result of some trigger event. Or, sometimes, individual faculty members volunteer for such a review for personal or professional reasons.

Historical Context

Post-tenure review is not a new idea. In 1982, the National Commission on Higher Education Issues identified post-tenure review as one of the most pressing issues facing higher education. The commission suggested that "nothing will undermine the tenure system more completely than its being regarded as a system to protect faculty members from evaluation" (1982: 10) and

** The authors gratefully acknowledge the helpful advice of Richard P. Chait, Barry R. Culhane, James J. DeCaro, Judith Gappa, Ejner J. Jensen, and Eugene Rice, as well as the technical assistance of Sydney Long, Katrina Evringham, Joanne Helmick, Mary Jo Ingraham, and Gary Stape.

recommended that a system of peer review be developed on campuses to help ensure faculty competence and strengthen institutional quality. The commission framed these recommendations within the context of promoting overall quality improvement and reinforcing public confidence in higher education.

A few examples of post-tenure review did exist prior to the commission's report. Private institutions such as St. Lawrence University, Coe College, Earlham College, and Carleton College reported such practices (Chait and Ford, 1982), as did the California State University (CSU) system, one of the largest public systems of higher education in this country. CSU's policy for the periodic evaluation of tenured faculty was adopted in the 1970s and pre-dated a collective bargaining agreement instituted in 1983. Part of that negotiated agreement mandated post-tenure review by a committee of peers every five years for faculty members not reviewed for promotion during the same period. This review, which is formative in nature, focuses on teaching and scholarship. Over the years, the policy has remained basically unchanged in each successive iteration of the collective bargaining agreement.

Despite these early experiments, this last decade has witnessed the most activity related to post-tenure review. Almost fifteen years after the commission's report, many of the same demographic, legislative, and environmental forces affecting faculty work have intensified to the point that institutions are being forced by external pressure to initiate processes to help ensure continued quality performance and growth. A fair number of institutions also have established policies or are considering establishing them in anticipation of such pressure. These institutions believe it is better to get out in front of the issue and play a major role in crafting the approach taken, rather than being forced to react.

While no national statistics are available on the precise number of institutions that have post-tenure review policies, attempts to estimate their extent reveal a marked pattern of growth. One survey of 680 public and private institutions found that 61 percent of respondents had a post-tenure review policy in place and another 9 percent had a policy under development (Harris, 1996). An AAHE study of faculty employment disclosed that 69 percent of 280 responding institutions were making some sort of change to tenure. The most common modification noted (29%) was to implement post-tenure review procedures (Trower, 1996). Compare these reports with a 1989 University of Colorado study of 46 institutional members of the American Association of Universities considered to be peer institutions to the University of Colorado. In that study, just three institutions

(6%) had a formal post-tenure review process separate from their annual salary review process (Wesson and Johnson, 1989: 14).

So, while it is difficult to determine the exact number of public and private four-year institutions with post-tenure review procedures, it is fair to say that most policies have been formulated over the last ten years and that activity within the public sector has been widespread. We know that policymakers in seven states are currently considering tenure reform (Chait and Ross, 1996).[1] We also know that post-tenure review is in the discussion or implementation stage in state institutions in twenty-eight states.[2]

Post-tenure review is even finding its way into professional schools and accrediting bodies. The board of directors of the American Assembly of Collegiate Schools of Business at its April 1996 meeting approved a project to explore ways that faculty-evaluation procedures in business schools might be more inclusive of post-tenure review (communication with William Laidlaw, executive vice president, July 1996). And, the Association of American Medical Colleges reports that interest in the periodic evaluation of tenured faculty members is increasing (communication with Jennifer Smith, Division of Institutional Planning and Development, February 1996).[3]

Discussions about post-tenure review are often laden with beliefs and expectations about what the primary purpose of the review should be. Many legislators and board members embrace post-tenure review as a mechanism to rid the academy of disengaged and slothful faculty and to give departments staffing flexibility. University administrators, knowing they must oversee such reviews, tread softly and ask whether such reviews will be worth the effort and can really make a difference in the quality of faculty teaching and research. Faculty members — often driven by confusion and suspicion — question the purpose, outcome, and need for such reviews. As one faculty member from a Virginia institution recently declared to *The Chronicle of Higher Education*, "The solution is worse than the problem. . . . Rather than create another process, deans and chairmen need to do what they get paid to do and deal with a weak faculty member" (July 21, 1995: A16). Leaders of the American

---

[1] These states are Arizona, California, Florida, Georgia, Minnesota, South Carolina, and Texas.

[2] These states are Alaska, Arkansas, Arizona, California, Colorado, Delaware, Florida, Georgia, Hawaii, Idaho, Illinois, Iowa, Kansas, Maine, Maryland, Minnesota, Montana, Nebraska, New Jersey, New Mexico, North Carolina, North Dakota, Oregon, South Carolina, Tennessee, Texas, Virginia, and Wisconsin.

[3] Medical colleges with policies include Bowman Gray School of Medicine (NC), University of California system medical schools, University of Cincinnati Medical College (OH), Georgetown University Medical Center (DC), and the Medical University of South Carolina; discussing policies are Emory University School of Medicine (GA) and the Oregon Health Sciences University (AAMC, 1996).

Association of University Professors traditionally reject the concept because they are concerned post-tenure review will weaken the tenure tradition and be used as a weapon to terminate tenured faculty: "[periodic evaluation of tenured faculty] would bring scant benefit, would incur unacceptable costs, not only in money and time but in a dampening of creativity and of collegial relationships and would threaten academic freedom" (1995: 49).

Post-tenure review attracts support, skepticism, and opposition. Its champions believe it can help move faculty and institutions closer to the goals of quality and accountability. Its opponents are convinced that current evaluation practices are sufficient, and that more oversight will bring little benefit and even threaten the fabric of academic freedom and collegiality. In short, post-tenure review can be an exceedingly contentious topic, especially when the purpose of the review is unclear, is seen as punitive in nature, or is described as a re-tenuring process (Andrews and Licata, 1991; Bennett and Chater, 1984; Goodman, 1990; Hollander, 1992; Licata, 1986 and 1988; Licata and Andrews, 1990; Morreale, 1996; Portch el al., 1993; Reisman, 1986).

Working Definitions

As with any performance evaluation, two fundamental purposes drive the development of post-tenure review policies: one summative and one formative.

- **Summative:** The summative framework suggests that the review yields accurate and reliable information about past performance that is then used to make a personnel decision. Such information usually identifies a faculty member's performance level and outlines specific actions to be taken as a result of the review — either *reward* when performance is above the norm or *remediation*, in the form of an improvement or professional-development plan or both, when performance is judged to be substandard. Although summative reviews rarely lead to immediate revocation of tenure or reduction in salary, they generally result in well-understood outcomes and may be perceived as more punitive than formative reviews. In fact, some critics have suggested that this type of post-tenure review, if used to justify a dismissal for cause, would "in practical effect, substitute periodic evaluation for a dismissal hearing and would be indistinguishable from the abolition of tenure and the adoption in its stead of a system of periodic appointments" (Finkin, 1988b: 97-98).

- **Formative**: The formative approach, on the other hand, suggests a review process that is developmental in nature. Its outcome is formulation of a professional-development plan emphasizing future growth. No formal, immediate personnel action usually occurs. In some cases, only the faculty member sees the review. The institution's role is principally to provide support, appropriate resources, and encouragement for specific faculty activities to help advance individual growth and promote the missions of the university and local unit. Formative reviews carry a counseling connotation.

While the philosophy of most post-tenure review policies drafted today is formative, almost all have summative aspects. Some policies are very specific about the actions to occur if the faculty member does not address the deficiencies identified in the review; others are vague. In most situations, institutional mission, campus culture, and prevailing pressures of external stakeholders and internal constituencies shape a policy's language and intent.

Most in the academy understand and agree that tenure was never intended to insulate faculty members from expectations of acceptable performance nor to excuse them from contributing to collective departmental responsibility for quality teaching, research, and service. Given that the tenure principle has been affirmed to be legally and administratively compatible with post-tenure evaluation (Chait and Ford, 1982; Olswang, 1996; Olswang and Fantel, 1981), the question that campuses now face is how best to blend both concepts into a credible and workable system.

PART I

POST-TENURE REVIEW: PRACTICES AND ISSUES

Driving Forces Behind Post-Tenure Review

Post-tenure review policies are driven by both external and internal forces, and toward formative and/or summative objectives. Externally driven post-tenure review policies, usually driven by legislative, board, or system mandate, tend to emphasize summative outcomes. In contrast, internally driven policies, proactively developed by institutions themselves, tend to deemphasize the summative approach and embody the formative.

Summative vs. Formative Approach

Some critics see formative approaches to evaluation as lacking teeth. Many in the field struggle with the question of whether a purely formative review — one that purports to be for growth and is sometimes shared only with the faculty member or the unit head — should or could lead over time to summative action. Because the type of information obtained through a review and the interpretation given to that information differ in summative and formative processes, this is an important concern. However, institutions where strictly formative reviews prevail usually also have an annual faculty review process, quite separate from the formative one, that focuses on performance and mandates a plan to remediate deficiencies. As we shall see in the following sections, rarely do we see a formative or summative policy that suggests that the assessment from one post-tenure review could lead immediately to dismissal. A minimum of two years, and as many as five years, of remediation and additional review are usually prescribed.

Externally Driven Institutional Policies

Recent examples of externally driven policies that stress formative goals include those developed by the Tennessee Board of Regents (Gebert, 1996), the University of Maryland system, and the

University of Wisconsin's Board of Regents. Like the other two policies, the University of Maryland system's policy provides for

- Fostering faculty development.
- Enhancing the learning environment for students.
- Assessing individual faculty performance over time in order to reward performance.
- Seeking to improve performance, when appropriate, in keeping with individual department, school, and institutional missions.
- Improving the academic program to which the faculty member contributes.

Unlike some system policies, though, Maryland's directly addresses the question of the resources needed to implement the policy: "To enable the comprehensive review process, institutions shall commit resources not only to the process itself, but also to its accompanying faculty development program" (University of Maryland System, 1996a; see **Policies Cited**).

Other systems take the formative philosophy and add a more-summative dimension. Examples of these include the University of Georgia system, the Commonwealth of Virginia system, the Texas A&M University system, the University of Texas system, the New Mexico system, and the State University System of Florida. In each of these cases, the formative approach forms the basis of the post-tenure review, but each policy also requires that the review have consequences such that recurring poor performance results in appropriate administrative sanctions, including termination. (Also see the profiles on Eastern New Mexico University, Georgia State University, Old Dominion University, and the University of Wisconsin-Madison in **Part 2** of this report.)

Internally Driven Institutional Approaches

Private (and some public) colleges and universities commonly take a proactive approach to policy formation. Policies at Texas Christian University, Northland College, Pacific Lutheran University, and Ithaca College grew from internal commitments to developing strategies that would help ensure continued faculty quality.

Strategic planning is sometimes the catalyst for such actions. An example of this approach by a private institution is Johns Hopkins University. Its *Report of the Committee for the 21st Century* (1994) recommends that a formative post-tenure review process be implemented "as a means of improving the tenure system" (25). The committee points out that while recruiting and retaining high-quality faculty should remain Hopkins's first priority, the opportunity for professional growth is also important for vitality: "[A]t all career stages, scholarly development through changes or expansion

of scholarly interests is a critical factor in ensuring the academic vitality of Hopkins' primary resource" (25).

Another private institution, Montreat College, emphasizes more-summative outcomes. Its five-year evaluation of tenure policy stipulates that if two unsatisfactory reviews occur (after a three-year remediation period), termination for cause may be invoked. If the policy works as campus officials hope, it will be because "the idea came out of the faculty itself through the Faculty Executive Committee and not from the board or the administration" (communication with Donald King, academic dean, July 1996).

An example of an internally driven policy formulated at a public university is found at the University of Kentucky. Richard Edwards, dean of the College of Arts and Sciences, proposed post-tenure review to his faculty in 1992 as part of a larger plan for increased university support for their long-term careers. The premise of his proposal rested on the idea that over the course of a faculty member's career, there may be "more than one career profile ... multiple orientations and varied activities" (1994: 7, 11). At the University of Kentucky, the review is either voluntary for faculty desiring peer input or mandatory for faculty who receive very low merit ratings in one of the major activity categories for two consecutive biennial review cycles (a four-year period). A peer committee reviews the faculty member's performance and outlines strengths and chronic deficiencies. The department head then works with the faculty member to put together a professional-development plan, which is assessed annually for up to three years. Termination is possible if significant improvement does not occur. Dean Edwards sees this process as a "powerful response to off-campus critics who demand greater faculty accountability" (16). That the college's AAUP executive committee supported the proposal after considerable debate and revision is seen as an important factor in its acceptance by the faculty.

Five Post-Tenure Review Options

We observed five options for post-tenure review currently in use: annual reviews; summative (periodic/consequential); summative (triggered/consequential); formative (departmental); and formative (individual).

Option 1: Annual Reviews

Annual reviews are common and generally focus on short-term performance (usually to assess one year's performance and distribute merit monies accordingly). In some settings, these reviews are reported to be perfunctory at best. In other settings, it is well recognized that such reviews simply are not effective in providing direct feedback about long-term career development and overall performance. More often than not, annual reviews are administrative exercises and do not involve significant peer input.

Post-tenure review policy development usually begins with a careful analysis of the benefits and limitations of existing institutional practices for faculty evaluation and development. At the University of Pittsburgh, analysis led to proposals for modifying and strengthening the longstanding annual performance-review process rather than developing a separate periodic post-tenure review process. In other places, however, such as the University of Wisconsin-Madison, analysis resulted in a separate periodic post-tenure review.

The report of UW-Madison's Planning Committee on Tenured Faculty Review and Development points out that while no system of review is perfect, "the system of annual merit review links an extensive process of yearly evaluation with recommendations on salary, which are frequently market- rather than merit-driven. The strains in such a system become particularly apparent when compensation is inadequate to meet competition from other educational institutions and other parts of the economy" (University of Wisconsin-Madison, 1993: 7; see **Policies Cited**). Additionally, annual reviews cannot assess achievements requiring a longer period of time, as is frequently the case with multiyear projects, research studies, and many scholarly works.

UW-Madison's approach is similar to that of Illinois State University, where the annual review could have satisfied a periodic review mandate from the board of regents. However, faculty and administrators there recognized the limitations of annual reviews and passed a policy requiring a review of full professors every four years. That review is conducted by the Department Faculty Status Committee and aims at ensuring a high level of competence and offering constructive guidance (communication with Elizabeth Chapman, acting associate provost, July 1996).

This same question is being discussed at Indiana University Purdue University Indianapolis, where deliberations by governance groups have focused on whether substantive review of tenured faculty is best accomplished through a review every three to five years or by converting the annual review to a post-tenure review with substance. Several IUPUI schools and departments have already adopted unit-specific post-tenure review policies, but a uniform, campuswide policy is yet to be

adopted. Post-tenure review is the last piece in IUPUI's comprehensive review of policies regarding faculty appointments and advancements. Policies regarding dismissal for cause already have been modified to include conditions for dismissal for professional incompetence, including continuing inability to perform adequately the ordinary duties of teaching, research, and service (communication with William Plater, dean, 1996).

Option 2: Summative (Periodic/Consequential)

This option involves a periodic comprehensive review of *all* tenured faculty members, using a prescribed cycle (usually five years). A peer committee, administrators, or both conduct the review. Other characteristics of this approach include the following:

- Results take the form of a performance assessment accompanied by a recommended professional growth and improvement plan.
- Satisfactory performance is used as the baseline.
- The improvement plan establishes goals and timelines and takes into consideration the mission and priorities of the department; a professional-development plan is encouraged.
- Institutional support is provided, where available and when appropriate.
- Progress is assessed. If progress is unsatisfactory, another review is mandated in one to two years, and longer-term administrative sanctions may occur.
- An appeals process is usually outlined.

An example of this option is the process at the University of Oregon, where a five-year review by an elected peer committee helps identify faculty members who merit special recognition, as well as those who need special assistance. Rewards can include a merit increase, reallocation of departmental resources to fund additional research interests or opportunities for curriculum development, additional research or clerical support, or university recognition for achievement. Likewise, actions to improve performance within the university's Career Support Program include consultation with colleagues on problem areas, reallocation of departmental assignments to facilitate improvement in teaching or research, and access to an instructional-improvement center or personal counseling. A second post-tenure review follows these formative steps. The policy suggests that if the faculty member is unwilling or unable to perform at acceptable levels, he or she be counseled about alternate career plans or early-retirement options.

Integrating the periodic review with the annual review is important at the University of Michigan-Dearborn's College of Arts, Sciences & Letters, where the review of full professors every four to six years, along with yearly assessments, is used to determine salary increments and other benefits based on merit. While the review primarily aims at improvement, it can result in salary freezes and decreases. (Also see the profile on the University of Michigan-Dearborn in **Part 2**.)

The State University System of Florida's newly approved policy, negotiated between the board of regents and United Faculty of Florida, requires that a comprehensive review of sustained performance occur once every seven years following the award of tenure or the most recent promotion. The purpose of the evaluation is to document sustained performance and to encourage continued professional growth and development. Under the plan, only elected faculty can participate in the development of specific campus procedures that must include both peer and administrator involvement in the review. The plan stipulates further that a faculty member who has received satisfactory evaluations for the previous six years cannot be rated below-satisfactory on the sustained review nor be subject to a performance-improvement plan. A performance-improvement plan is required for faculty whose sustained performance evaluation indicates below-satisfactory in one or more areas of assigned duties. If the faculty member does not make satisfactory progress on a performance-improvement plan, the university can invoke disciplinary action for misconduct or incompetence.

Option 3: Summative (Triggered/Consequential)

This comprehensive review of *selected* tenured faculty members usually is triggered by unsatisfactory performance as identified through another review. Potential consequences are almost always spelled out. In this kind of post-tenure review,

- A peer committee or the administration conducts the review.
- Satisfactory performance is used as the baseline.
- An improvement plan is developed, with goals, timelines, expected outcomes, and monitoring.
- Institutional support is provided, where available and as appropriate.
- Progress is assessed.
- If progress is unsatisfactory, sanctions occur.
- An appeals process is outlined.

Such triggered post-tenure evaluations are often deemed more acceptable, because they are seen as less time-consuming, with attention focused only on substandard performers. In addition to

the policy at the University of Kentucky already described, other examples based on a triggering event include the policy at the University of Montana, where the collective bargaining agreement (in place since 1978) specifies that "tenure review will be initiated when a tenured faculty member has received a less-than-normal salary increment for three (3) consecutive years" (University of Montana; see **Policies Cited**). The faculty evaluation committee within the unit can recommend either to continue tenure for one year, with reevaluation at end-of-year, or to discontinue tenure for a minimum of one year, with reevaluation every year until tenure is reinstated or the faculty member is terminated. The associate provost indicated that these reviews have been invoked.

Two consecutive unsatisfactory annual reviews would trigger post-tenure review in a policy under consideration at Virginia Polytechnic Institute & State University and is in place at Old Dominion University. (Also see the profile on Old Dominion University in **Part 2**.) Longwood College uses as its trigger either consecutive less-than-satisfactory annual reviews or three less-than-satisfactory annual reviews during a five-year period. The policy at Longwood directs chairs to recommend termination if after two years the faculty member does not make reasonable progress, as judged by the dean, chair, and tenure committee.

Special requests for a comprehensive review are the trigger in other settings. University of Idaho policy empowers the provost to ask qualified members of the department to indicate in writing whether they question the performance of any faculty member scheduled for review. If a majority of qualified department members, the unit administrator, the dean, the provost, or the president questions the performance of an individual faculty member, the provost then determines whether a more thorough review is warranted; if it is, that review is conducted in the same way the initial tenure review was conducted. Extreme cases of substandard performance can constitute adequate cause for dismissal. Similarly, at Seattle Pacific University, a post-tenure peer review is required when the faculty status committee receives a request for such review from the faculty member, the school dean, two full-time faculty members, or the dean of faculty. The faculty status committee can recommend sanctions to the dean, including a two-year probationary review with follow-up, a reduced load to redress a grievance, no action, or, in extreme cases, a call for revocation of tenure or senate censure. And at Clarkson University, the department chair can request a special review once every two years when consistent failure to meet expectations is identified through the continuing annual review process.

Option 4: Formative (Departmental)

This process focuses on establishment of a professional-development plan that emphasizes both the academic needs of the university and the career interests of individual faculty members.

- The plan is developed with the department head or dean.
- A summary of the review and a copy of the plan are placed in the faculty member's file.

This approach is in place at Rutgers University. In 1995, the university activated a 1978 policy that had been dormant for nearly twenty years. (The union had objected to it.) Recent union-negotiated procedures specify:

> The faculty member and chair shall review the faculty member's current and planned scholarship, teaching, and service interests and accomplishments, and examine their relationship to current departmental needs. When the interests and academic activities of the faculty member correspond with the needs of the department, no changes are called for. When a gap between departmental need and individual faculty member interests is identified, the chair and the faculty member shall explore possible changes, so that the faculty member's strengths and interests can better serve the needs of the department and college. (Rutgers University; see **Policies Cited**)

The procedure suggests that external departmental reviews and departmental self-studies help identify departmental teaching, research, and service needs.

Ithaca College, a private institution, uses a cumulative review of its tenured faculty, conducted once or twice every seven years and focused solely on developmental issues. Future departmental and local unit teaching needs are considered in the constructive feedback given to the tenured faculty member. The results of the comprehensive evaluation, conducted by a departmental peer committee, are given only to the faculty member. Ithaca keeps the cumulative post-tenure review separate from its summative annual review, which determines salary increments and identifies any serious instructional deficiencies. In cases of identified deficiencies, a separate schoolwide committee is then formed to review performance and suggest remediation. If the faculty member does not make satisfactory progress, he or she can be dismissed. (Also see the profile on Ithaca College in **Part 2**.) Similar approaches are used at Southern Oregon State College and Tarleton State University.

Option 5: Formative (Individual)

This periodic review of all tenured faculty members is aimed at specific performance areas and long-term individual career directions. In this approach:

- Individual development is the baseline.
- Assessment is not designed to question competence.

- Peer review is usually a major component.
- A development plan is formulated.
- Peer recommendations and follow-up shape the development plan.
- Institutional support is available (sabbatical, travel monies, grant support).
- No formal personnel action occurs.
- Materials collected cannot be introduced in termination-for-cause proceedings.

Some institutions involve a faculty-development committee in this type of review. At Utica College of Syracuse University, for example, the faculty instituted a post-tenure review process in 1994 that uses a peer Professional Development Committee to conduct the review. In the review, which is cast in formative terms and characterized as "conversations about careers," the committee "strives to make holistic judgments that reflect the reality that the traditional areas of evaluation ... receive different emphasis at different points in a faculty member's career" (Utica College: 7; see **Policies Cited**). A unique feature of this policy is that, as a result of the review, the committee votes to recommend that a budgeted amount ($500) goes either to the faculty member's base salary for the ensuing five-year period or to the faculty-development fund for faculty support in areas identified as needing improvement. In addition, faculty members who receive positive recommendations for salary increments can elect to place $3,000 (instead of the $500 annual base increase) into a restricted account for their use in advancing their own professional-development goals (2).

Wayne State College encourages individualized three-year professional-development plans. Through a negotiated agreement between the board of trustees and the State College Education Association, yearly meetings to assess progress are held, and evaluations are predicated on the professional evaluation plans. Through a Faculty Goals Forum, the college assesses progress by asking each tenured faculty member three questions:

1. What are three accomplishments the division should strive for during this academic year?
2. What roles will you be willing to take in ensuring the accomplishment of the above?
3. What are your personal goals for this academic year in Teaching, Scholarship, and Service? (Wayne State College: Appendix B; see **Policies Cited**)

Experimental policies at St. Francis College and the University of LaVerne also emphasize individual growth. The philosophy of both is a commitment to faculty enrichment. At St. Francis, an elected faculty committee developed the Faculty Evaluation and Enrichment Program. Rather

than a single review, the program recognizes that "a college-wide commitment to an on-going and substantive program of faculty development is an equally important component in ensuring quality instruction" (St. Francis College; see **Policies Cited**). The program provides two options to faculty members: The first establishes mentoring teams to meet over the year with the faculty member under review, conducting classroom observations and, with the faculty member, developing a plan of required actions or activities. Under the second option, a standing committee reviews, gives feedback, and makes recommendations specifically on elements of teaching effectiveness.

At the University of LaVerne, a pilot program, Professional Development for Tenured Faculty, uses a three-person Professional Development Group. The group meets some ten times over the year, collects data on teaching effectiveness, and then works with the tenured faculty member to recommend desired or needed growth. Faculty members who work with the group can request resources to support remediation, growth, and exploration of new areas of specialty. The deans meet with the group at the end of the year to discuss progress. The only notation made in the faculty member's personnel file is that he or she worked with the group and took the charge seriously.

Guidelines for Policy Development

Regardless of which approach they use, successful institutions recognize the importance of certain underlying principles and take them into account when they formulate policy. These principles provide a context for subsequent refinement of procedural language and help establish a set of values for the entire evaluation program. These principles are:

Academic Freedom

To affirm and preserve academic freedom in policy language.

Academic Tradition

To acknowledge and support commonly cherished academic employment conditions when formulating and implementing policy. These conditions include traditions of shared governance, self-direction, collegiality, peer review, due process, and appeal.

Articulation of Purpose and Consequences

To articulate a clear statement of purpose for the review and consequences from review. To be successful, newly formulated post-tenure review procedures should interface well with existing evaluation and development practices and be linked to reward structures.

Accurate, Defensible, and Useful Information

To create solid evidence. Data-collecting methods and measures used to assess faculty performance must be reliable and objective. Anecdotal and casually regarded evaluation data are no longer acceptable. Too many decisions now depend on the data.

Decentralized Control

To give latitude to the local unit in determining specific review components, including criteria, standards, and sources of data.

Peer Review

To duly consider the advantages and disadvantages of mandating significant peer involvement in review. Institutions must recognize that peer involvement is time-consuming, can compromise collegiality, but can help promote the idea of collective responsibility for ensuring quality and growth.

Feedback

To include documented feedback to faculty members and an opportunity for a rebuttal at the end of the review. Most see this principle as critical to improving performance and nurturing professional-development goals.

Flexibility

To be responsive to the need for flexibility and individualization. Review processes must recognize that academic careers are characterized by changing professional priorities and interests. Some degree of flexibility is warranted in meshing faculty activity and evaluative criteria with institutional and individual priorities.

Institutional Support

To establish and/or continue support for faculty-development programs and resources. Availability of such resources is normally referenced in policy, and resources become available when post-tenure review is implemented.

Establishing the Procedural Framework: Specific Components

Whether specific review procedures are detailed in the policy language or are remanded to the local unit for design, certain procedural elements are common to almost every post-tenure review program we studied.

Frequency of Review

The most frequently noted cycle for mandated reviews of *all* tenured faculty is five years. Variations certainly exist, though. For example, the University of Montana requires a review every two years, and Middlebury College requires a review every ten. When post-tenure review is triggered by another event (usually deficient performance identified through an annual review), the review occurs immediately, and a follow-up review usually occurs one year later.

Exemptions/Exceptions

Normally, exemptions from reviews are detailed in policy. Exemptions are usually allowed when another mandated review (a review for promotion or merit, for example) occurs during the same period or when the faculty member declares an intent to retire, resign, or be voluntarily reassigned. Reviews are advanced or postponed in some cases because of unavoidable and periodic interruptions, such as sabbaticals or extraordinary personal situations. For example, at the University of Kentucky, a mandated review (triggered by a substandard rating in a major activity category for two successive biannual reviews) can be waived if the faculty member voluntarily seeks a change in assigned responsibilities from an area of deficiency to an area of strength. Often the faculty member will be assigned an increased teaching load (Edwards, 1994).

Participants in Review

Though peer review committees are most common, the composition of these committees and selection of their members vary widely. Generally, selection is by one of the following:

- A departmental executive committee or the membership of the local unit selects or elects three to five tenured faculty members to serve on a departmental or local unit committee.
- A collegewide governance body elects or selects a peer committee of three to five members.
- The dean or department head appoints the committee, with or without input from the faculty member under review. Typically, the local unit is represented; on occasion representation is collegewide.
- An existing committee is used, such as a tenure/promotion and appointments committee, or a departmental executive committee.

At some institutions, the faculty member under review may recommend one member for the committee. At Montana State University, tenured faculty members who are evaluated every three years must initiate the peer review component themselves by selecting and requesting three peers to prepare a written evaluation of performance.

Using peers from outside the department or home college is rare but does occur occasionally. Old Dominion University allows for this option.

Occasionally, a university will adopt a policy that allows maximum flexibility in deciding who conducts the review. At the University of North Dakota, for example, where review is every three years, faculty members are allowed to decide whether a department committee, a college committee, the department head, or the dean will carry out the review.

The role of the first-line unit administrator is usually as member of the peer committee, to provide evaluative data to the committee, or to separately review the faculty member prior to submission to the next administrative level.

Some institutions don't use peer review committees at all, opting for a single reviewer, usually the administrative unit head. Examples of this approach are seen at the University of Hawaii (see its profile in **Part 2**), Governors State University, Texas Christian University, Northland College, Pacific Lutheran University, Springfield College, Lafayette College, Drury College, Clarkson University, Old Dominion University, and Keene State College.

Regardless of the choice made between single reviewer or peer review committee, a recent study by the Corporate Leadership Council suggests institutions can keep post-tenure review polici

from being overly bureaucratic and ineffective by decentralizing the process to the department level and by simplifying as much as possible what is expected in the review reports (1996: 28).

Information Collected

Most procedures ask for basic input from multiple sources and require at least a self-appraisal, a curriculum vita or activity report or both, student evaluations, and evidence of quality performance in teaching, research, and service activities. Classroom visits, input from graduates, teaching portfolios, and peer or colleague testimonials are also sometimes included. The faculty member under review almost always may include other materials he or she considers pertinent. Any previous professional-development plan and a discussion of the progress the faculty member has made toward achieving its goals are always a part of formative processes.

Criteria/Standards

From the research to date, it seems the broad areas used in pre-tenure faculty evaluation carry over to post-tenure evaluation, sometimes with modifications in weighting, emphasis, and level of achievement expected. Generally, institutions use one of four methods to establish post-tenure review criteria and standards:

- Use established tenure criteria and standards.
- Use established criteria and standards associated with promotion-in-rank.
- Use other established collegewide expectations and standards.
- Ask departments or local units to establish minimum expectations and standards.

That faculty be involved in and agree on the criteria, standards, and weighting is critical if an institution expects its faculty to participate fully and benefit from the reviews. Perceived performance gaps, due in part to rising standards, between recently tenured faculty and those tenured more than a decade ago are neutralized when departmental faculty members agree upon the standards to be used.

Performance criteria are influenced by the mission and culture of an institution, so performance standards are often negotiated in light of these factors. Often minimum departmental or college performance expectations are established. This was done at Brigham Young University's College of Business (Neal, 1996), at the University of Hawaii-Manoa (Goodman, 1994), and within the College of Arts and Sciences at the University of Kentucky (Edwards, 1994).

Systemwide policies also provide guidance on criteria. The University of Wisconsin system Board of Regents suggested that "effective criteria against which to measure progress and accomplishments of faculty during the review must be included in each institutional plan and should reflect the mission of the various units (e.g., department, college, institution) and be sufficiently flexible to allow shifts in professional emphasis" (University of Wisconsin System: 3; see **Policies Cited**).

The Texas A&M University system policy spells out that "post-tenure evaluations are made on the basis of typical criteria and factors. . . . Not all departments will use the same weighting of each factor and these may be different depending on the faculty member's specific role and responsibilities within a college" (Texas A&M University System: 1995; see **Policies Cited**).

In North Dakota, if revised drafts of the State Board of Higher Education's policy directives are approved, institutions there will establish work plans for tenured faculty that describe the associated duties and goals and specify the weight to be given the criteria in the evaluation. What is particularly interesting is that each institution is asked to allow for varying emphases on the criteria based on the "faculty member's plan, the needs of the institution, and the background, abilities, and interests of the faculty member" (North Dakota State Board: Section 605.1: 3; see **Policies Cited**).

Feedback

Many advocates argue that requiring and providing constructive feedback about performance (in writing and in person), together with a discussion of career growth and professional development, is what distinguishes post-tenure review from more-traditional formal and informal assessment methods (for promotion, sabbatical, merit review). Generally, one of two approaches to providing feedback is used:

- The chair of the peer committee, the immediate unit administrator, or the dean shares the review summary and recommendations with the faculty member. A meeting to discuss the findings is held and an appropriate development plan is established; parties agree on what and when institutional resources will be made available to match the level of need.
- The chair of the peer review committee or the department chair share the review and recommendations with the faculty member only. The faculty-development plan they formulate is then filed with the dean or vice president or is kept at the department level.

When the review addresses whether the faculty member is meeting acceptable performance standards, or when considerable resources for development are involved, the dean and provost usually review the recommendations and approve the level of needed and available resources.

Necessary Resources

Research and practice strongly suggest that post-tenure reviews should be tied to faculty-development and attendant resources, including funds for travel, research assistance, extended study, special projects, equipment, and release time. The resource issue concerns some college administrators: What constitutes reasonable support for professional development when the onus is on the individual faculty member to improve? Should support be given to development plans of poor performers if the result is fewer development resources for strong performers? These are vexing concerns.

The level of institutional support for remediation and development is best decided in the context of the university's overall budget and strategic plan. Some institutions separate development monies targeted for improvement from that allocated to assist or reward long-term professional development. For most, though, a standard of reasonableness usually prevails in whether the institution can abide both the content of the improvement plan and its financial requirements. Because most institutions have limited financial flexibility with such funds, they make good-faith efforts to support remediation. That an institution cannot provide the level of support a faculty member seeks does not negate the expectation and requirement of continued faculty competence.

Most institutions try to work with faculty members to create an environment where growth is encouraged and supported. However, faculty demonstration of competence is not portrayed as dependent on the institution's ability to invest heavily in the name of remediation. Further, the accounts from Hawaii, Wisconsin, Georgia, Oregon, and Maine do not suggest that unreasonable faculty requests for resources are the norm. Notwithstanding, an institution's lack of follow-through and commitment to reasonable developmental resources are what causes faculty members to claim that post-tenure review pays only lip service to faculty development.

Several reports have highlighted the importance of this tie between institutional support for development and improvement plans:

- A case study of a small, private liberal arts college and a large, public comprehensive university, both with operational post-tenure review, suggests that while most faculty members at both sites saw post-tenure review as a beneficial practice overall, only moderate

improvements in faculty performance were noted (Johnson, 1993: 27). The post-tenure review process was more likely to stimulate faculty members to define new directions and goals. Faculty members were concerned about follow-up and were less likely to take the review process seriously if it had no required demonstrated outcome.

- A University of Colorado survey of 526 faculty members who had undergone post-tenure review and the deans and department chairs involved also illustrates the importance of follow-through and available resources. Colorado's program was designed primarily to promote continued faculty development. But the overwhelming majority of faculty members viewed the process as having little or no outcome because the resulting development plans lacked the necessary resources. The authors concluded that "the potential of the process remains, but specific actions and resources must be implemented for its fulfillment" (Wesson and Johnson, 1989: 17). Following this report, the system made available a central resource fund for faculty development for the four university campuses (communication with Al Ramirez, associate vice chancellor for faculty affairs, November 1995).

- Harris (1996: 190) reports that the lack of resources for funding faculty development is one of the two most commonly expressed concerns with post-tenure review at comprehensive and liberal arts institutions.

Outcomes

For practitioners and observers alike, the most significant aspect of the post-tenure review process comes in the discussion of outcomes — both expected and unanticipated. As stated earlier, the two major outcomes usually sought are continuous improvement of faculty performance and continuous career growth. Whether these outcomes are best achieved by an "iron fist" or "velvet glove" is under debate. By and large, institutions do stipulate actions to be taken when deficient performance continues, and they support further development for faculty whose performance is at least satisfactory. Some even publicly recognize or otherwise acknowledge the accomplishments of top performers.

When faculty performance is below standard, most institutions require constructive and timely remediation through the development of a work-improvement or professional-development

plan. Practitioners in Hawaii, Kentucky, and Wisconsin counsel others on the importance of providing department heads and deans with guidance and structure about what should be included in a professional-improvement plan (Cohen et al., 1996). Initial experiences suggest that unrealistic or overly broad plans will result when specific guidelines are not provided, and that a manageable plan should include:

- Realistic goals and expectations.
- Activities.
- A timeline.
- Resources to support the plan agreed upon by both faculty and administration.
- Follow-up/monitoring schedule.
- Consequences of inadequate progress.

The development and/or improvement plan should also provide an opportunity for deans, chairs, and faculty to think together creatively about such things as long-term career directions, possibilities for revised workload, modifications to the balance of principal areas of responsibility, and specific areas of departmental priority. Draine (1996) advances six key questions that can be used with faculty at review time to generate discussion about how best to match individual professional career goals with local unit objectives:

1. Where would I like to see my department going in five years? What changes or additions to its mission, focus, or reputation for excellence would I like to see the department undergo?
2. How does my vision of the future relate to any recent program review of the department — either internally or externally done?
3. What would I like to be doing to contribute to the work of the department or university — in the next five years?
4. How can I express the proposed contribution in terms of the benefits that will accrue to the department and university?
5. What would I need — in resources, professional development, and my own refocusing of work efforts — in order to do my proposed new work well?
6. Are there any current responsibilities that I would need to give up in order to do my projected new work well? What plan could I present the department to cover — or to eliminate — the work I would give up (e.g., a course I have been teaching, committees I sit on, other administrative responsibilities)?

Consequences

The most formidable question is: What actions is the institution prepared to take when remediation is unsuccessful or when a faculty member willfully neglects his or her duty? Historically, institutions have avoided dismissal-for-cause actions because of an insufficient paper trail, the high financial cost, and the emotional burden on those involved in the process. Instead, campuses tended to opt for other, less-onerous approaches, including buy-outs, reassignments, or early retirement. As one campus official suggested, post-tenure review serves a good purpose insofar as it can create an environment that allows administrative sanctions to occur, even if they are never invoked because other less-difficult negotiations are initiated and produce the desired outcome.

Our discussions with academic affairs administrators at institutions with considerable post-tenure review experience tend to support this perception. For example, at the University of Maine, where post-tenure review for full professors has existed in a unionized setting for more than twenty years and where such a review automatically occurs every four years, there have been no dismissals but peer committees have recommended other administrative sanctions (communication with Judith Bailey, academic vice president, and Dale MacDonald, human resource director, July 1996). Although the University of Montana uses three consecutive less-than-normal salary increments as its trigger for review, the associate provost there reports the procedure is frequently invoked and faculty have been put on probation, received administrative sanction, or both as a result (communication with Fritz Schwaller, Office of Academic Affairs, July 1996). Over the last ten years at the University of Oregon, where review occurs every five years, no actions resulting in termination for cause have occurred after deficient performance went uncorrected because other options have been negotiated (communication with Lorraine Davis, Office of the Vice President for Academic Affairs, July 1996).

Will institutions' general reluctance to initiate dismissal-for-cause proceedings continue, or will that reluctance diminish under the weight of the accountability movement and consequential policy provisions? The answer is difficult to predict. A few private institutions (e.g., Colby-Sawyer College, Calvin College, and Ithaca College) have expanded their dismissal-for-cause provisions to include teaching ineffectiveness (see Trower, 1996). While most policies we studied allow for the use of administrative sanctions, we couldn't see a consistent pattern of actual use among them. Public institutions and systems are attempting to put "teeth" into newly formulated post-tenure review programs, though. For example, through legislation the State of New Mexico outlined substantive

consequences, particularly for unfavorable evaluations in the area of teaching: "(1) a two-year probation and reevaluation period; and (2) loss of tenure if, during the subsequent probation and reevaluation period, the faculty member fails to demonstrate improvement in the area of teaching" (State of New Mexico; see **Policies Cited**). (See also the profile on Eastern New Mexico University in **Part 2**.)

In July 1996, the Texas A&M University system Board of Regents unanimously passed a policy statement that expands the grounds for dismissal to include failure to successfully complete a post-tenure review professional-development program. And, the North Dakota State Board of Higher Education is expected to grant final approval to a new tenure code that includes as one of six examples of adequate cause "continued or repeated unsatisfactory performance evaluations and failure to respond in a satisfactory manner to a recommended plan for improvement" (North Dakota State Board: Section 605.3: 5; see **Policies Cited**). Pursuant to this will be a requirement that tenured professors be evaluated every three years in each of North Dakota's state institutions.

Here are a few other examples to illustrate the variety and level of seriousness ascribed to consequences in different settings:

Among the actions cited in the five-year review plan at the University of California-Davis is the reapportioning of a professor's duties:

> When, as a result of a five-year review, a faculty member's performance is deemed unsatisfactory, he/she should be prepared to contribute more to areas of particular strength. Thus some individuals may undertake more teaching, others may become more involved in professional and/or University service, etc. In reapportioning the faculty member's duties, the chair should consider the faculty member's skills and expertise. Reassignments may have the additional benefit that the contributions of the faculty member could then be more evident to the department and the faculty member alike. (University of California-Davis: 3; see **Policies Cited**).

In some situations, procedures at UC-Davis encourage faculty members to pursue other career options:

> If performance is deemed unsatisfactory, the department chair should consider talking with the faculty member about other career options. These may include (a) a change to a title more reflective of the individual's strengths, (b) a discussion about other career options that fit the individual's strengths, and/or (c) a discussion of early retirement, if that is warranted (3).

A few institutions — the University of Portland, Baylor College of Dentistry, and Alfred University — make it clear that post-tenure review is concerned with performance as it relates to the original award of tenure. In each of these institutions, the rank and tenure committee conducts the

performance reviews and recommends whether the faculty member still demonstrates the qualifications that earned him or her tenure. If the committees recommend a program of improvement, but no improvement is evident after a specified period of time, they may recommend appropriate administrative sanctions, including termination of appointment. At the University of Portland, such a recommendation can occur after three years; at Baylor, after two years; and at Alfred University, faculty get a one-year opportunity (a "warning year") and are then reevaluated. (The faculty member gets no promotion or salary increase during this warning year.) If the reevaluation is still negative, the faculty member gets the option to resign, take early retirement (if appropriate), or undergo administrative actions.

Some policies outline distinctions among levels of required remediation. For example, the Arizona Faculties Council's proposed plan to the board of regents uses the annual review (which covers the preceding three-year period) as the foundation for a continuing review system. If the annual review finds faculty members performing at an unsatisfactory level, they must enter one of two processes, depending on the extent and severity of their deficiencies. Any single area of unsatisfactory performance (teaching, for example) is addressed through a one-year development plan at the local unit. However, faculty members with overall unsatisfactory performances must enter a "performance improvement process" that includes enhanced peer review and a development plan approved at the college level. Failure to demonstrate adequate progress leads to a recommendation for dismissal. Another interesting aspect of this proposal is the way periodic program review is used to assess a faculty member's contribution to the department. Mandatory program reviews are undertaken every five to seven years in the Arizona system, conducted by panels of external experts and internal community members. Under the proposed plan, program reviews would include an evaluation of each faculty member's contribution to the program. When program reviewers suggest that a faculty member has not made a sufficient contribution, a request will be made to the unit committee, via the dean, for reconsideration of the faculty member's contribution, accompanied by recommendations for appropriate action.

Most institutions report that legal review is necessary and important when a policy outlines summative consequences. They always seek legal advice when considering modifications to the definition of adequate cause. In some situations, legal consultants help clarify the relationship between post-tenure review and subsequent administrative sanctions, particularly how such actions interface with existing dismissal-for-cause policy requirements. Attorneys also provide guidance

regarding the establishment of reasonable and defensible approaches to remediation (known as "progressive discipline").

Appeals Processes

In the tradition of due process, procedures allowing for a faculty appeal are almost always included in policy. Some institutions rely on appeals processes already in place. Others constitute special appeals panels to review each case and render a recommendation. Institutional grievance procedures are normally the last avenue available to faculty members who believe a review unfairly represented their performance.

Benefits and Costs of Post-Tenure Review

A key question administrators and faculty often ask is whether the benefits of post-tenure review outweigh the costs associated with its implementation.

Benefits

Discussions about the benefits of post-tenure review most often hinge on assumptions or anecdotal evidence rather than empirical data. Published reports of campus experiences are few. In a 1988 report based on interviews, chief academic officers in eight institutions[4] (all with ten or more years experience with post-tenure review) offered a positive commentary on the usefulness of their campus procedures. Such policies were principally formative in design, and the academic officers believed post-tenure review provided a valuable forum in which to discuss future faculty direction and enabled peer review to be a powerful voice in shaping individual faculty development (Licata and Dowdall, 1988). Similarly, a review of practices in Jesuit colleges revealed that a majority (61%) of the vice presidents surveyed believed that "the benefits of adopting a formal post-tenure review system outweighed the disadvantages," and reported "tangible advantages for tenured faculty members in five of the six institutions" with formal review mechanisms (Felicetti, 1989: 62). A recent survey of chief academic officers within the Southern Association of Colleges and Schools offered another view: Seventy (70) percent believed post-tenure review to be effective in achieving its purpose within their

[4] These institutions are the California State University system, Coe College (IA) , Earlham College (MN), Franklin and Marshall College (PA), Millersville University (PA), St. Lawrence University (NY), UCLA, and West Chester University (PA).

institutions, and 55 percent speculated that their faculties also viewed the process as favorable (Wilson, 1995).

Harris (1996) cites a range of reported benefits, including enhancement of institutional accountability, integrity, and public confidence; improved teaching; linkage of faculty and institutional goals; faculty development perceived as a continual expectation; and identification of faculty deficiencies and development of improvement plans (178).

To date, the most comprehensive assessment of campus results comes from the University of Hawaii at Manoa. Its program of post-tenure review, crafted by a joint administrative-faculty union committee primarily to identify and remediate marginal performance, is a success. On a five-year follow-up, of 618 faculty members reviewed, just 72 (12%) were labeled as inadequate performers (Goodman, 1994). Of them, 20 chose retirement, and the 52 others developed remediation plans and made satisfactory progress on them. Of particular note was that only 5 faculty members made just minimal progress toward achieving their remediation goals. Goodman also noted that the number of grant applicants rose during this period, as well. Surprisingly, during this same period, the university's central fund to support faculty development was rarely tapped; college and departmental funds were sufficient. Further, Goodman reported that "the program has tended to enhance faculty morale and the faculty's sense of purpose and engagement in their disciplines" (93).

It is much too early to predict the overall effectiveness of post-tenure review policies in this country. While individual examples and institutional spokespersons provide helpful insight, the jury is still out because evidence is informal, nonexistent, or anecdotal. We did ask academic affairs officials from institutions with long histories of post-tenure review whether, on balance, they considered the process to be worthwhile. (California State University has fourteen years of experience; the University of Hawaii has ten; the University of Maine, more than twenty; and the University of Montana, eighteen.) The general impression was positive. A collective bargaining agreement guides the review plan at each campus, and all our interviewees pointed to the willingness to incorporate post-tenure review into succeeding agreements as evidence that both the faculty and the administration believe the process carries some benefit. At the University of Oregon, where there is no collective bargaining, faculty reaction to their ten-year experience with post-tenure review was informally assessed in 1995 when a special committee, commissioned by the provost, examined issues of faculty rewards and development. The committee could have recommended revamping the post-tenure review process; instead, it affirmed the process's worth by proposing that the current five-year

review policy be revised to require review every three years for associate professors (full professors would remain at five). The committee saw post-tenure review as an effective way to provide timely and constructive feedback to faculty members readying themselves for promotion.

Expected Benefits

Our discussions with campus officials, combined with results of the few research studies cited above, do suggest certain expected benefits associated with the process of post-tenure review:

1. As a mechanism for continued career focus and development, campus advocates believe post-tenure will:

- Enhance and reward continuous development of faculty by providing a credible mechanism to move from a "still frame" evaluation approach to a "moving frame" retrospective and prospective approach — a process that can be a useful tool for career development.
- Provide an opportunity for promoting different career emphases over time and adjusting the mix and balance of faculty activities (for example, changing emphasis from research to teaching, or changing a research focus from one area to another). In doing so, the process forces administrators to think more creatively about having reasonable alternatives for faculty members who wish to change emphasis through creative employment arrangements.
- Better meet everyone's needs. When institutional mission and departmental strategic priorities are factored into the development plan, faculty career goals are matched with institutional directions. That match helps assuage the traditional creative tension arising from faculty allegiance to discipline versus commitment to changing departmental priorities and need for staffing flexibility.

2. As an extension of an institution's regular review policies, post-tenure review will:

- Make more explicit which performance expectations an institution values and how such performance criteria will be measured against explicit standards. Post-tenure review prompts institutions to reexamine how teaching, research, and scholarship are defined and valued; how adoption of new technologies and pedagogical approaches (distance learning, multimedia, etc.) are encouraged; and how faculty innovation and creativity are rewarded.
- Convey a greater sense of departmental collective responsibility for individual performance, particularly when peers are involved in the post-tenure review. The hope is that departmental

culture can begin to change and move toward one where "our" work is as important as "my" work.

- Improve teaching quality, particularly when teaching effectiveness has primacy and the delivery of instruction and integration of new technology into faculty repertoires are supported.
- Forestall interference in faculty affairs by external forces and mollify external critics who say that accountability and tenure are mutually exclusive, and prove that the notion of job protection is more illusion than substance.

3. As a strategy for continued quality performance and demonstrated outcome, it can:

- Make specific the dimensions and consequences of unacceptable performance.
- Improve morale by rewarding meritorious performance and providing opportunities for improvement when performance is substandard.
- Bring attention to other gaps in existing institutional policies for evaluation and development (for example, the need for policies regarding evaluation of administrators, program review, workload definition, and in some cases expansion of what constitutes "adequate cause").
- Help administrators, legislatures, and boards better understand faculty workload and normal ongoing collegiate activities aimed at promoting quality.
- Help identify resources needed for faculty improvement.

Costs

Apprehensions and reservations about post-tenure review abound. Opponents point to the threat post-tenure review presents to established faculty values and institutional mores. These include concerns that as a process post-tenure review will:

- Provide little guarantee of benefit, with the risk of imposing inordinate requirements of time and resources on the institution.
- Lead to faculty resistance and antagonism because of the image of post-tenure review as a punitive process, particularly when summative consequences are emphasized.
- Violate academic freedom and, over time, attack the tenure system.

- Diminish faculty professionalism through unnecessary oversight based on the unsubstantiated assumption that teaching performance and research productivity decline after tenure is awarded.
- Establish a negative precedent of yielding to external political pressure.
- Have an adverse effect on collegiality because peers are called upon to do the work of administrators.
- Compromise faculty scholarship because faculty members abandon the search for knowledge within controversial and unpredictable areas in favor of more "accepted" avenues of scholarly inquiry.
- Be implemented unevenly across departments and units because evaluators vary in their degree of interest and skill.
- Promote corporate culture at the expense of academic culture.

Matthew Finkin, an attorney who served as chairman of AAUP's Committee A on Academic Freedom and Tenure, drives the point home when he suggests that five-year post-tenure review really means that faculties and administrations will "bear the burden of making tenure-like judgments for 20 percent of their colleagues every year." He posits that "this seems disproportionate to the need to identify those that should be encouraged to voluntarily retire or against whom dismissal proceedings should be brought" (1988a: 55).

The Costs of Doing Nothing

Institutions must decide whether the potential benefits outweigh the potential costs, and whether to maintain the status quo is viable in today's environment. Morreale (1996) argues that the costs of doing nothing must be given due consideration in such analyses. These costs include:

- Lack of consequences for poor or underperforming tenured faculty members.
- Low faculty morale and inequity in the evaluation of tenured and nontenured faculty.
- Lower faculty productivity.
- Risk of losing tenure as standard academic practice.
- Greater interference in academe by external forces.
- Continued erosion of the public's confidence in higher education

Six Strategies and Precautions for Developing a Program of Post-Tenure Review

Based on what is currently known about post-tenure review, and with particular attentiveness to what we learned through our institutional profiles, we offer the following strategies and precautions to institutions interested in developing or modifying a plan to review tenured faculty.

1. Clearly define and articulate the purpose of the review.

Because the purpose of the review drives all other aspects and leads the way to appropriate language regarding outcomes and consequences, it is important to distinguish between formative and summative evaluation. While many evaluation theorists believe these two types of evaluations must be designed and implemented separately, many practitioners believe a system of faculty evaluation can produce information that leads to both types of outcomes. Both camps agree that institutions must make significant efforts at formative help before summative consequences can be invoked.

2. Involve both faculty and administrators in designing the process and procedures.

Without collaboration, a post-tenure review program is doomed to faculty apathy and pro forma implementation. Everyone must take ownership of the process to enhance its usefulness and success.

3. Sufficiently inform and guide those entrusted with carrying out the review procedures.

Do not expect peers to be comfortable with this type of review or administrators to possess the necessary evaluation and development skills. The review process is only as effective as those given the responsibility to implement it. Comfort, commitment, and skill will vary. Results will vary. This is to be expected. Experience will enhance comfort and skill; commitment must always be reinforced.

4. Develop a plan to measure the effectiveness of the review in accomplishing its stated purpose and to determine the overall benefit of the review to faculty members and the institution.

We could find only three institutions that included a "sunset" clause in their initial policies — the University of Kentucky's College of Arts and Sciences, Texas A&M University-Kingsville, and St. Francis College. There, policies will be reviewed after a trial period to see what changes are needed.

Faculty perceptions of the benefit and usefulness of post-tenure review are critical. Consider surveying faculty members who have been reviewed, as well as other constituencies involved in the review, to determine their overall impressions of the usefulness of its procedures, time invested, outcomes observed, and benefits accrued. Communicate the intent and results widely and effectively, and be prepared to modify the process based on the assessment.

5. Do not expect post-tenure review to be a panacea for removing unproductive faculty or for staffing flexibility.

Realistic expectations are important. Post-tenure review requires time and credibility to reap tangible benefits. Will it always work? Probably not. There will always be a few intransigent or recalcitrant faculty members who do not want to grow or improve. Likewise, there will always be a few chairs and department peers who fail to treat the review process with the seriousness it requires. This is normal. The challenge is to lay the appropriate groundwork with peers and administrators so that, on balance, the process does work and participants feel invested in it.

6. Be prepared to deal with the myriad of compelling operational issues that require careful planning and follow-through.

Strategic leadership by the administration is necessary to gain campus acceptance, develop sound review procedures, and implement the entire process fairly. Specifically:

Gaining campus acceptance requires efforts to:

- Establish principles to guide post-tenure review in the preliminary stages.
- Bring all stakeholders into the discussion of post-tenure review early.
- Integrate the concept of post-tenure review into the existing promotion and tenure system and into other review cycles.
- Gain allies among the leadership of the faculty and middle management.
- Invite external practitioners, knowledgeable and experienced on the topic of post-tenure review, to address the faculty and administration and elicit discussion on the topic.
- Be open to suggestions of the faculty and demonstrate a willingness to compromise.

Developing the policy and procedures should include attempts to:

- Keep the process simple and understandable to all concerned.
- Keep the faculty at the center of any review system.

- Dispel the idea that post-tenure review is a re-tenuring process.
- Be vigilant and oversee the development of process and procedures.
- Add funds and resources, if financially feasible, to faculty development in relationship to post-tenure review.

Implementing post-tenure review is made smoother when steps are included to:

- Oversee the actual implementation of the post-tenure review process in each college or school.
- Make sure there is appropriate follow-up and feedback to the faculty under review.
- Constantly remind stakeholders of the purpose and expected benefits of the review.
- Keep careful records of the process and its outcomes.
- Conduct informal evaluations of the process through discussions with the deans and chairs.
- Develop a formal assessment process to evaluate the overall effectiveness of post-tenure review, and modify the review based on the assessment.

Conclusions and Recommendations

Our study of current post-tenure policy and practice leads us to make some general observations and recommendations about what we see as promising future directions.

Context

First and foremost, we are convinced academe must accept that over the next decade it will come under increasing scrutiny from legislatures, policymakers, parents, students, and the general public. Higher education has come to play critical roles in providing opportunities for advancement in American society and in maintaining the nation's economic competitiveness. Public concern over whether higher education is adequately fulfilling those roles, and at what price, has brought on demands for accountability, and with them increasing clamor about higher education's co· effectiveness. Academe will also suffer continuing public concern that higher education remains o· of the last bastions of lifetime job security at favorable pay, in a nation much concerned about the effects of reengineering and downsizing elsewhere on job stability and economic security. If the tradition of tenure is to remain intact, the public, policymakers, and politicians have to be assured that significant review of academic performance exists to ensure higher education of high quality. Such external pressures on private institutions may be less intense now than those on public

institutions. But we believe such pressures are present in the private sector nonetheless, and public-sector activities on post-tenure review will soon spill over there.

Post-tenure review has become an emotionally charged concept, eliciting passion on both sides of the aisle. We prefer to think of it as a concept that helps professors identify strengths and improve weaknesses. We characterize it as a process that can legitimize balancing of individual faculty interests with institutional priorities, and as a mechanism for continuous faculty development. In fact, our analysis of the issues has lead us to side with its proponents. We take this position for at least three reasons:

- Post-tenure review, thus far, acts to preserve tenure as it has come to be known and accepted in academe.
- Our limited analysis suggests post-tenure review policies become generally accepted over time and work well.
- The benefits of instituting post-tenure review appear to outweigh the costs.

Purpose

In the summative-versus-formative debate, we come down on the side of the formative. We assert that post-tenure review must have faculty development as its central focus. We have learned that this emphasis on development makes the adoption of such a policy much more palatable to the faculty as a whole. Despite the limited time over which the effectiveness of various models has been tested, we are initially persuaded that the most useful system of post-tenure review is a combination of Option 2: Summative (Periodic/Consequential) and Option 4: Formative (Departmental). In this way, we propose that post-tenure review must:

- Systematically and comprehensively assesses performance.
- Involve peers in a significant way.
- Help individual faculty members establish long-term professional-development goals within the context of institutional mission and priorities.
- Make it easier to take action to remove chronic nonperformers.

In principle, we strongly believe in making post-tenure review policies apply to all tenured faculty members. Not only does this approach make the policy fair and applicable to all, but it also establishes post-tenure review as part of the university's assessment culture. We do, however, recognize that triggered reviews might be wise in certain circumstances.

It is too early to know whether the "periodic-for-all" approach or the "triggered-for-some" approach is more effective in terms of its impact on performance and the efficient use of resources. But what is clear is that one size does not fit all. We propose that to have a chance for success, post-tenure review must be contextualized, taking institutional history and practice into consideration. We posit that there is measurable advantage to establishing a policy for the periodic review of all tenured faculty, and that a five-year cycle is a workable and sufficient length of time to allow a longer-term view of the faculty member's development and career. What is less obvious is whether targeted (or triggered) comprehensive reviews, in fact and in practice, carry the stigma that some in the field purport. We see some benefit to the triggered review, especially when an institution's annual review process adequately and fairly responds to goals of remediation, development, and reward. While our experience suggests that annual reviews, by and large, are too superficial to produce the type of prospective and retrospective analysis we believe is paramount, we recognize at the same time that the annual review must have a logical place in the evaluation continuum and be connected to post-tenure review. These factors make us strongly recommend that all institutions grapple seriously with the question of whether their annual review process can and should be modified and strengthened to the point where it satisfies the formative goals of post-tenure review, and so a more-intense review is occasioned only for chronic nonperformers. Of critical importance, from our perspective, is making the overarching goal of post-tenure review continuous performance improvement for all faculty, and not punishment for poor performers. We like the emphasis in Option 4 of integrating the development of the individual faculty member with the needs of the department, college, and university. This approach does much to synchronize individual goals with more-general collegiate goals.

We also entreat institutions to look for creative ways of making post-tenure review more than just an add-on activity for those already juggling competing time demands. For example, institutions might explore the idea of waiving the consecutive annual review requirement for those faculty members performing at a satisfactory level or above — i.e., using one performance rating over an extended period to allow reviewers the time to focus on the post-tenure review process and on the annual review of only those faculty members whose performance is substandard.

We also believe strongly in rewarding faculty members who are doing an exceptional job. Those who receive a positive post-tenure review should be eligible for some sort of recognition and for funds for their own continuing development. We are less convinced that post-tenure review, in

and of itself, should provide additional substantial rewards for faculty who are doing an exceptional job. This is not to say that we don't support rewarding outstanding faculty. Rather, we believe that credible reward structures in the form of merit monies, teaching awards, resources for continuous development, and the like must be part of the institutional infrastructure that supports ongoing evaluation and not tied only to periodic review of tenured faculty.

Standards

At the core of post-tenure review policy is the question of performance standards and acceptable allocation of faculty effort among teaching, research, service, and other activities important to the institution. Which standards must senior faculty members meet to be "in good standing"? What kind of flexibility is needed to match responsibilities with strengths and interests? These decisions are best remanded to the local unit and organizational division in which a specific department is located, with the dean and the provost playing major roles in establishing the guidelines. This is where opportunities arise to modify and affirm what we value in teaching and in other scholarly work; to emphasize the importance of effective teaching; and to expand the definition of what it means to be a scholar in Boyer's terms. Clearly, the best and only way to have a workable and supported post-tenure review policy is to have faculty and administration working together to establish criteria and guidelines. Faculty members support what they help create.

Consequences

But what about faculty members who refuse to change or cannot meet the standards? What happens when attempts at improvement fail? We predict that if post-tenure review achieves its espoused purpose, many faculty members will improve and return to full performance levels through their own development plans. We accept the idea of a one- to two-year development plan for those faculty members who are chronic underperformers, with development resources available to all faculty. But for those who do not make the grade, various consequences must follow. In fact, we have discovered that the lack of consequences for faculty inaction undermines any attempt to encourage faculty development. Consequences for nonperformance over some predetermined period of time must be carefully spelled out and might include reassignment, early retirement, probation, salary freezes, and termination. And there must be due process and a formal procedure for each consequence, including the right to appeal and the opportunity to follow the university's normal appeals procedures.

Problems

We are aware of the problems post-tenure review brings. First, much of the faculty will resist the idea, fearful the administration will use post-tenure review summatively and capriciously to terminate "unwelcome" faculty. Second, its time-consuming nature also causes concern, particularly if peers are asked to be involved in both the merit review and a separate post-tenure review. Third, post-tenure review does not appear to enjoy the same level of confidence as do other institutional reviews, and it tends to be seen differently by different departments and schools. This disparity in perception can lead both to unevenness in its application and acceptance by faculty and administrators and to variability in how meaningful the feedback provided to the faculty member undergoing the review is. Last, most practitioners are concerned about the question of what constitutes a reasonable work-improvement plan in terms of its content and the resources needed to carry it out.

Change is never easy. We suggest, however, that much of the faculty resistance to post-tenure review is based on their frustration that the public seems so insensitive to the high quality of the contributions most faculty members make. Faculty members are angry that more evaluation is the "quick fix" response from external stakeholders, when, faculty believe, administrators have over the years not made the most of what evaluation and development processes are already on the books. And they bristle at outsiders intruding on their internal affairs. Nevertheless, we note a number of success stories of faculty members working with administrators and boards to author rigorous and responsible post-tenure review plans. In all such cases, faculty members were brought into the process at the earliest stages, and empowered to chart the course of the plan. As a result of such collaborations, policymakers and legislators come away with a more balanced view of tenure and its continued value. Even faculty resistance can be overcome by this more integrated approach, building on existing evaluation processes.

Positive Outcomes/Unintended Consequences

Most senior administrators we interviewed see post-tenure review as at least a "qualified" success. However, most also have not objectively assessed results and outcomes. What senior administrators do say is that they monitor post-tenure review by reading the review files themselves or the summaries the deans prepare. They also talk informally with the deans to review implementation and to re-stress its importance.

They also judge effectiveness by the outcomes they see. Some talk about improvements in teaching, student learning, research, publications, and grant submissions. They point out innovations and changes faculty members probably would not have made if they had not been encouraged by their colleagues or chair through the post-tenure review process.

Others openly discuss the seemingly "significant" impact on early retirements. Senior faculty members who might be considered underperformers often opt to retire or accept early retirement rather than undergo the rigors of a comprehensive review. Whether increasing numbers of tenured faculty will be subject to dismissal for cause as a result of post-tenure review must remain an unanswered question. We believe this cannot and should not ever be the force driving post-tenure review; however, a few systems and institutions are changing their dismissal-for-cause policies to more directly tie review results and allowable administrative sanctions. Even so, we do not expect post-tenure review will be the catalyst for large numbers of dismissals. We say this because we do not believe significant numbers of faculty members are chronic substandard performers, and we believe that through post-tenure review, most poor performers will either get back on track or seek other career options.

Because hard evidence is lacking regarding outcomes, no one knows whether post-tenure review can deliver on the promises its advocates make, or whether it will undermine academic traditions as opponents warn. Careful further tracking is necessary to understand the impact this process is having within institutions.

Some still express reservations about post-tenure review. But our discussions did not substantiate them. On the campuses we studied, we did not, for example, find evidence that post-tenure review has destroyed collegial relationships, threatened academic freedom, or inhibited the pursuit of controversial areas of inquiry. Again, though, we only reviewed the experiences of selected institutions, and the bulk of our conversations were with administrators.

We speculate that evolving post-tenure review policies will have unintended yet powerful effects on other institutional practices and traditions. For example, post-tenure review practices are likely to bring closer scrutiny to the annual review process, workload policies, and departmental strategic program planning efforts. And that scrutiny will result in more-systematic approaches to workload, annual assessments, and the establishment of local unit mission and direction statements. The roles and responsibilities of department heads and peers stand to be significantly affected by the additional accountabilities placed on them by new review practices. Because of this, we anticipate that those entrusted to carry out reviews will need increased opportunities for training and skill

development. Thoughtful deliberations about how to evaluate administrators with tenure might also emerge alongside complementary efforts to design systems of upward evaluation for chairs, deans, and other executive administrators.

If nothing else, our study has shown the importance of the ongoing transformation in higher education. Post-tenure review is but one of many policies being considered to improve higher education and bring greater accountability. Despite the controversies surrounding post-tenure review, it seems to be working reasonably well in the institutions already applying it. The key to its success, as is typical on most college and university campuses, is faculty involvement and administrative support early on and continuously during development and implementation. We believe there is a real cost in doing nothing. Change is never easy in academe, but change we must if we are to control our own destiny.

Final Note

Overall, we view our work on post-tenure review as the starting point for ongoing dialogue in the field, and we seek your help in reporting successes, failures, and challenges you have encountered in implementing and overseeing campus efforts directed at the assessment and development of tenured faculty. The institutional profiles that follow in **Part 2** of this report enlarge our conversation on the topic significantly. We hope you will share similar experiences with us so we can continue to expand the information base.

To facilitate that, at the back of this report we have included a response form we hope you will use to let us know of your interest and experience with the topic of post-tenure review. We would like to include you and your institution in future updates and to connect you to our network of other interested practitioners.

PART 2

INSTITUTIONAL PROFILES

Profiles of nine institutions follow as case studies of how the concept of post-tenure review was actually developed, implemented, and articulated within differing parameters of institutional mission and campus culture.

In each case, we interviewed an appropriate campus official, soliciting sufficient detail from which to build a profile summary. Each profile then was reviewed and approved by that campus contact person.

The opinions expressed are those of the interviewees. Readers should note that in every case it was an administrator providing the information, and so direct faculty input is absent.

We are grateful to our colleagues in these nine institutions, who gave so generously of their time and expertise.

Colby-Sawyer College
Eastern New Mexico University
Georgia State University
Ithaca College
Old Dominion University
University of Colorado-Colorado Springs
University of Hawaii-Manoa
University of Michigan-Dearborn
University of Wisconsin-Madison

Colby-Sawyer College

New London, NH

Contact: Dr. Lorna Edmundson
Senior Vice President and Dean of the Faculty

The Institution:
Colby-Sawyer College is a small, private, coed liberal arts college, which offers only baccalaureate degrees and has a student body of 730. It has forty-one full-time faculty; 28 percent have tenure.

Impetus for Post-Tenure Review:
Being a small, private liberal arts college in a very competitive market, Colby-Sawyer sought to create increased flexibility in the hiring and firing of faculty. The main pressure for post-tenure review came from the financial difficulties of the college brought on by the competitive environment. The post-tenure review policy was reviewed at a time when the overall tenure policy was also being considered. Colby-Sawyer has had post-tenure review for the past eight years. At a board of trustees meeting in October 1995, the board recommitted itself to post-tenure review and adopted a revised plan.

The senior vice president and dean of the faculty was the primary architect of the newly revised post-tenure review policy and procedures.

Development of Post-Tenure Review Statement and Procedures:
Development required a yearlong process of collaboration with key leaders among the faculty, including representatives from the Faculty Research and Development Committee and from the Faculty Personnel Committee. The process also involved the associate academic dean. The senior vice president created a broadened Committee on Tenure and Faculty Evaluation, which reviewed proposals for post-tenure review and brought a recommendation to the full faculty. It was unanimously passed by the faculty and then presented to the board of trustees, where it was also unanimously accepted.

It took fifteen months to obtain acceptance of this new post-tenure review policy, which has been in place since Fall 1995, with implementation scheduled for Fall 1996.

Purpose and Process:
The post-tenure review policy involves both formative and summative evaluation. The formative portion stems from the annual evaluations of each faculty member conducted by the dean and chair. In that process, the faculty member develops a self-assessment document for a three- to five-year professional-development plan. The College has a comprehensive faculty-development program with significant funding, and a Faculty Research and Development Committee, which oversees faculty-development grants. This whole program is largely designed to offer continuous quality improvement to all of the faculty.

There is a process of full review every five years for all tenured faculty. This is done through peer review with oversight by the dean. Peer review is accomplished by colleagues in the faculty member's department, the department chair, and the Faculty Research and Development Committee.

Review Criteria:
Teaching and research/scholarly activity are the principal criteria used, but the main emphasis is on teaching. Teaching portfolios are used, as are student learning outcome forms of evaluation. Peer review and classroom observations are also included. Research/scholarly activity is evaluated by publication, and a faculty self-study provides evidence of service to the community.

Outcome:
Those faculty who come under review for poor performance in teaching are given one year to improve their teaching. While in this probationary period, the faculty member's salary is frozen. A work-improvement plan is developed and monitored, and after one year the faculty member is reevaluated. If found to have improved, the faculty member is returned to the five-year review cycle. If the dean and chair can document a lack of progress, then they encourage a career redirection or present buy-out options to the faculty member. The ultimate sanction is dismissal by the president.

The faculty member has the right to appeal the process but not the decision, and such appeals are made directly to the president.

Number of Faculty Reviewed to Date:
Only two faculty have undergone post-tenure review under older guidelines. As of Fall 1996, the new guidelines are in effect.

Problems With the Procedures:
The senior vice president indicated that faculty have long felt uneasy with the idea of post-tenure evaluation. They treat the five-year comprehensive review as another tenuring process and bring large quantities of material to bear on their review. The administration is trying to streamline the process and material required and also make the process more cumulative in nature — evaluating incremental changes between five-year periods.

Another major problem noted is the need to make sure that the momentum of the continuous development of senior faculty members is maintained and, likewise, the need to sustain the energy and integrity behind the post-tenure review process.

Assessment of Effectiveness:
The key method used to assess the effectiveness of post-tenure review is the comprehensive collegewide program review. This is carefully articulated and post-tenure review is directly related to the program review. More informally, the associate academic dean and senior vice president gauge the effectiveness of the process through an assessment of the performance of various faculty members.

Lessons Learned:
Dr. Edmundson cautions administrators considering post-tenure review to take a lot of time and care to structure the process of evaluation; bring all voices to the table for discussion, and create faculty ownership of the process and the idea of post-tenure review. Once established, she believes it provides a wonderful and fair opportunity for continuous faculty development and validation.

Eastern New Mexico University

Portales, NM

Contact: Dr. George L. Mehaffy
Vice President for Academic Affairs

The Institution:
Eastern New Mexico University is a constitutionally independent state-supported institution, one of six 4-year universities in New Mexico. It has a student body of about 3,600 at the Portales campus, 2,500 at the Roswell Community College campus, and 600 at the Ruidoso Instruction Center. Eastern New Mexico University is a public, regional comprehensive university offering master's and baccalaureate degrees in four colleges. There are 145 full-time faculty at the main campus; 55 percent have tenure.

Impetus for Post-Tenure Review:
The initial impetus for post-tenure review at Eastern New Mexico University (ENMU) came from the New Mexico state legislature. In a year marked by the introduction of several bills that suggested concern about higher education (one proposal, for example, was to eliminate tenure altogether), the New Mexico legislature passed a law requiring post-tenure review at all six 4-year universities. The clear implication of the legislation was that the state might withhold public funding from any university that chose not to adopt a post-tenure review plan. The board of regents and university administrations at each of the six 4-year institutions began a process of consideration and implementation.

Development of Post-Tenure Review Statement and Procedures:
Eastern's board of regents directed the president to develop policy on post-tenure review; the president delegated this responsibility to the vice president for academic affairs (VPAA). The VPAA had raised this issue prior to the legislation with the faculty senate but had encountered substantial faculty resistance. The legislative mandate substantially reduced that resistance. The legislation, passed in March and signed in April 1995, anticipated implementation by all six universities the following year. In the summer of 1995, the VPAA and the president of the faculty senate convened a small group of tenured faculty members to begin considering issues and concerns surrounding a post-tenure review policy. The faculty senate president also met with the president of the university and with members of the faculty senate. During early Fall 1995, the Faculty Handbook Committee developed a proposal for post-tenure review, in consultation with the VPAA and the president of the faculty senate. The proposal was discussed by the full senate and sent out for review by the entire faculty. In late Fall 1995, the faculty held a referendum on the post-tenure review policy; the final vote was 70 in favor, 2 opposed. In December 1995, the board of regents of Eastern New Mexico University adopted the Post-Tenure Review Policy, with implementation to begin in Fall 1996.

Following approval of the Post Tenure Review Policy, in Spring 1996, a faculty/administrative working group was convened to discuss the implementation of the policy. Among the questions that this small working group addressed were the following: who was to be reviewed first, how could a fair rotation be established, and what was the relationship of the post-tenure review to the last comprehensive review and change of status. In order to make the process equitable, the working group recommended that faculty considered for post-tenure review in 1997 would be those who had their last change of status (promotion, tenure) in 1992, 1987, 1982, etc. This process would ensure that approximately 20 percent of faculty would be reviewed each year in a five-year review cycle, and would not selectively identify individual faculty to be reviewed.

Purpose and Process:
From the beginning, the administration's position on post-tenure review was that the purpose was to provide a formative evaluation of faculty, aimed at improving the performance of faculty members, not used as a mechanism for removing faculty tenure. There was concern expressed by some faculty members that it would be used in a summative fashion. Built into the final policy are procedural safeguards that mirror AAUP guidelines. These safeguards appear to have met most faculty concerns about this issue. The VPAA has also identified additional funds available in a faculty-enrichment program to provide support to faculty who go through the post-tenure review process.

As called for in the legislation, Eastern's post-tenure review process addresses the three traditional areas of teaching, scholarship, and service but limits any negative action to only those cases where unsatisfactory teaching is an issue. The process provides a two-year probationary period for faculty members whose teaching is found to be deficient, followed by an additional review. The post-tenure review process does permit the loss of tenure, but only after the probationary period, and an additional AAUP review process.

The main participants in the post-tenure review process are a committee of peer faculty, the department chair, and the college dean. Each college establishes a College Faculty Review Committee (CFRC) composed of five tenured faculty members. The dean of the college reviews the CFRC's recommendation. There is also a University Faculty Review Committee (UFRC). This committee is composed of five elected faculty members, one from each college and one at-large. The UFRC reviews all unsatisfactory recommendations.

Outcome:
The CFRC can make one of two judgments: that the faculty member's performance is either satisfactory or unsatisfactory. The dean follows up with a separate evaluation of the CFRC's recommendation. If the satisfactory recommendation is adopted, the tenure review is complete. If an unsatisfactory recommendation is made by the CFRC and/or the dean, then further review is required. The unsatisfactory recommendation must be based on unsatisfactory teaching. Further review is conducted by the UFRC, which not only reviews the evidence supporting the probationary recommendation but also considers concerns of equity across the colleges and school. The UFRC has two possible recommendations: If the tenured faculty member's teaching is satisfactory, the post-tenure review process is complete. The UFRC can also recommend probation; a faculty-development plan to address the teaching deficiencies is then created. Resources are made available to the faculty member to assist in his/her improvement. The probationary period lasts two years. At the end of this period, the faculty member is reevaluated to determine whether significant progress has been made in teaching quality. If the faculty member's progress is deemed satisfactory, then the faculty member is placed back in good standing. If not, then the UFRC can recommend loss of tenure.

The faculty member has the right of appeal of the recommendations to the VPAA and president.

Number of Faculty Reviewed to Date:
The new policy will begin in Fall 1996. Because the date of last change of status varies, there will not be an equal number of faculty reviewed each year.

Problems With the Procedures:
The main problem with the post-tenure review procedures is that there is still strong faculty resistance because they perceive it as an enormous hassle. The faculty see it as unnecessarily cumbersome and time-consuming, and they worry about the potential abuse of post-tenure review by future administrations. There is also the issue of the problem of penalty only for poor teaching.

What about the other criteria? Also, there is a question of what constitutes sufficient evidence for doing a good versus a poor job.

Assessment of Effectiveness:
Obviously, it is too early to be able to assess the effectiveness of the post-tenure review policy at ENMU. However, Dr. Mehaffy offered a few comments on the possibility of assessment. He is considering a confidential assessment instrument such as an anonymous survey of the faculty and deans to determine their views of the effectiveness of post-tenure review. One member of the small working group suggested that one of the possible impacts of the post-tenure review would be an increase in early retirement among faculty not wishing to go through the process. That is certainly a possible result, although it would be difficult to categorize, as retirement decisions are made for a variety of reasons, many of which are not evident to anyone except the retiree.

Lessons Learned:
While it is still too early to comment on implementation issues, VPAA Mehaffy did assert that he believes it helps an institution to develop a policy of post-tenure review if it is externally imposed or threatened. It is also possible to use the argument that post-tenure review should be instituted to forestall outside influence on the university.

He added that, based on his university's experience, administrators should be prepared to have post-tenure review viewed with cynicism by the faculty and to have concerns raised about administrative overreaction and misuse.

Administrators must be prepared to go through a burdensome, time-consuming process both to have post-tenure review adopted and to have it implemented.

Another major issue is the appropriate emphasis given to teaching at the various types of academic institutions. The impact and importance of teaching for faculty at flagship research institutions are much different than at regional comprehensive universities; post-tenure review policies should be campus-specific (i.e., mission-specific) to reflect such differences.

Georgia State University

Atlanta, GA

Contact: Dr. Beatrice Yorker
Associate Provost for Faculty Affairs

The Institution:
Georgia State University is a member of the State of Georgia's university system. It is a public, doctoral, urban university with a student body of 23,000. There are 800 full-time faculty; 58 percent have tenure.

Impetus for Post-Tenure Review:
Georgia State University (GSU) always had post-tenure review, in that it has had a policy of annual review of all faculty. The main impetus for post-tenure review was the arrival of a new chancellor of the University of Georgia system, Dr. Stephen Portch. One of his prime goals as chancellor was to make the University of Georgia system more accountable to the state legislature. The state legislature had begun to make assertions about questioning tenure of university faculty. Prior to the arrival of Chancellor Portch, however, the new provost at GSU, Dr. Ronald Henry, had started the discussion on post-tenure review internally. So the initial impetus for post-tenure review started internally but became externally driven. The provost sold post-tenure review not as a stopgap measure for thwarting the elimination of tenure but rather as a tool for faculty development. The University of Georgia system has now just adopted a systemwide policy of post-tenure review. The system directive establishes the expectation that each of the thirty-two institutions will "establish post-tenure review policies and practices, involving both administrative and peer input, on long-range evaluations of faculty, with the purpose of enhancing the performances of all faculty, redirecting the activities of some, and aiding those whose performance is unsatisfactory" (Faculty/Staff Development Policy Directive, 3/8/95).

Development of Post-Tenure Review Statement and Procedures:
After the overriding general statement of policy and principles about post-tenure review that was adopted by the university, the colleges and schools developed the specific details of the proposal for their own areas. It took two years from the initiation of the discussion of post-tenure review by the provost to final adoption of the policy statement. It took another year for the individual colleges and schools to establish their own procedures and begin implementation.

Purpose and Process:
The main purpose of post-tenure review at GSU is formative, but it has a summative element. The formative evaluation is a five-year comprehensive review of all tenured faculty. In the initial phase of post-tenure review, a three-year time period was used to capture the backlog of faculty who had not been through a comprehensive review. This was accomplished by reviewing one third of the tenured faculty each year for three successive years. This is to be followed by a five-year cycle when tenured faculty are evaluated every five years based on their tenure year. The summative aspect of the policy comes about mainly through a variable workload policy. The faculty member's workload in teaching, research, and service is adjusted based on the evaluation and faculty-development document. There is great use of release time and monetary rewards.

The main participants in the post-tenure review process are the department chair and a Post-Tenure Review Committee. This committee is either the same elected Promotion and Tenure Committee or a newly created and independently elected committee of at least three tenured faculty

members. The Post Tenure Review Committee performs the review of all tenured faculty and submits a report to the dean with its recommendation.

Review Criteria:
The cumulative review addresses accomplishments of the faculty member in teaching, research/scholarly activity, and service to the community. The cumulative review is distinguished from the annual review in that the cumulative post-tenure review requires faculty and administrators to assess achievements and goals over a longer period of time and focuses more on longer-term growth and development. The Post-Tenure Review Committee submits its report to the dean. The chair, dean, and provost review and comment upon the report, and the faculty member receives all written comments. There are not uniform standards used across all departments or schools, but rather the faculty member is evaluated in terms of a particular departmental, college, or school mission. The evidence that is used consists of a teaching portfolio, student and peer evaluations, the annual reviews for the past three years, and supporting documentation for scholarship and professional activity.

Outcome:
A major outcome of the comprehensive evaluation is an individual development plan that identifies the faculty member's expected long-range contributions to the university in specific areas. The chair and dean both review this document and comment on it. The faculty member may also be provided some resources for faculty development from the department budget or may request some from the dean.

The faculty member has the right of a written appeal to the dean and the provost. An alternative dispute resolution system is also in use.

Number of Faculty Reviewed to Date:
The new policy began in Winter 1995, and many faculty have undergone post-tenure review. Several faculty have responded by taking early retirement.

Problems With the Procedures:
The faculty believe that the post-tenure review procedure is too time-consuming and that there is excessive paperwork. They also treat the five-year comprehensive review as another tenuring process and bring large quantities of material to bear on their review. Associate Provost Yorker suggests that there is a need to make the process more streamlined and not viewed as another tenure review.

It was pointed out that there are some rumblings about faculty resistance to this process, and the outcome of the post-tenure review process varies across departments. It seems to depend totally upon how seriously the chairs and deans take the policy.

Also, there have been questions raised about how well prepared the faculty evaluators are. In some cases, faculty members appear to select reviewers who will not challenge their accomplishments.

There is also a concern about how meaningful the feedback is to the evaluatee. Some suggest that it is very meaningful and others say that it is not. It seems to depend again on the seriousness of purpose that is taken by the deans and chairs.

Overall, Associate Provost Yorker believed that there was general value gained from the process. It has also created a general acceptance of the need for accountability and developed a process that potentially can improve the performance of poor performers and recognize highly productive faculty.

Assessment of Effectiveness:
Every year there is an annual evaluation of every faculty member. The provost monitors the use of the policy by the deans, and the goal is to improve teaching and research. The deans have indicated that for the most part there are very few poor performers on the faculty. There is annual data on publications and teaching that can be used to continue to monitor the progress of the tenured faculty. Overall, Dr. Yorker believes that the process is worth the effort because faculty have made changes who might otherwise have not done so. Furthermore, both junior faculty and genuinely productive faculty have felt positive about post-tenure review because they see that something has finally been done about the minority of faculty who were poor performers. So it has also been a good morale booster in that respect.

Lessons Learned:
According to Associate Provost Yorker, post-tenure review is worth the cost of time and effort because it boosts morale for the productive faculty and gives them a new sense of value and recognized worth in the university. Additionally, post-tenure review reiterates that teaching is a valuable enterprise and helps place more emphasis on teaching and learning. The process also communicates that someone cares about them as faculty and about the institution as a whole. Another lesson learned at GSU is that there must be constant vigilance to make certain the process is being adhered to and taken seriously.

Ithaca College

Ithaca, NY

Contact: Dr. Thomas C. Longin
Provost

The Institution:
Ithaca College is a private, four-year college offering baccalaureate and master's degrees in liberal and professional studies. It has a student body of 5,800 and a full-time faculty of 420, of whom 50 percent have tenure.

Impetus for Post-Tenure Review:
As a private liberal arts institution, Ithaca College places a high emphasis on teaching excellence and has its roots in the "conservatory" approach to teaching. Since 1980, all faculty have been reviewed on an annual basis for merit salary adjustments. This annual review process considers teaching, scholarly/professional activity, and service and is normally conducted by the department chair. However, Ithaca recently instituted changes to its annual review process and also established a separate post-tenure review process. The modification made to the annual review mandates that if the annual review manifests the existence of serious instructional deficiencies deemed likely to persist, further evaluation must be conducted by a preestablished school-based peer review committee. If this committee of peers confirms the deficiencies to the dean, an instructional-improvement plan is developed and monitored at regular intervals. Subsequently, if the faculty member fails to correct the deficiencies after one full semester, then appropriate administrative sanctions can be taken, including dismissal. In this way, Ithaca's annual review process is clearly summative in nature. This revised annual review protocol has been in effect since 1995.

In contrast, a recently adopted post-tenure review process emphasizes development and growth and has no punitive outcome. This post-tenure review process emerged on an informal basis in 1985 when school faculty and administrators, principally within the School of Humanities and Sciences and School of Music, made increasing requests to the provost for senior faculty accountability and were concerned about the perceived declining performance of some colleagues. They worked with the provost to put into place an informal but positive and developmental cumulative review system aimed at returning senior colleagues to excellence in teaching. The review process was piloted carefully for about six years, and in the early 1990s incorporated by college faculty and administrators into the new Faculty Handbook for implementation on a collegewide basis. This approval was formal and complete in August 1993.

Purpose and Process:
Formative in nature, the cumulative written evaluation (post-tenure review) occurs once or twice every seven years and the results are given only to the faculty member. The department chair is informed of procedures but does not see the review unless he or she is on the review committee. In this way, the faculty member is the "possessor" of the review. It is important to note that the college traditionally has had a strong faculty-development focus, with ample resources and a specialist in instructional assessment on staff to work with faculty on teaching improvement. So the tradition of faculty development matches well with the professional growth objective of the post-tenure review plan.

A committee of peers conducts the review. The specific composition of this peer committee, the procedures for the review, and the materials to be reviewed are determined and approved by the local administrative unit (usually the department; in music, the school). College guidelines suggest,

owever, that the evaluation of teaching must not rely exclusively on student statements and that information from the chair or dean, from peer reviews, and from annual evaluations might be used.

Review Criteria:
Normally, local units stay with established performance criteria associated with rank and level (as used in the annual review). However, given the developmental focus of the post-tenure review, the criteria can include the widest range of possible instructional and scholarly activities, as well as the strategic priorities of the local unit.

Outcor
Creation of a professional-development plan (including a work-improvement plan with timelines and progress checks, if needed, and a reordering of the mix of primary job activities, if appropriate) is the principal expected outcome. Multiple sources of support are available, including funds to support travel, research, workshops and conferences, reassigned time to carry out the development plan, and even support for formal "re-testing."

Number of Faculty Reviewed to Date:
- Scheduled to commence in 1993-94; postponed during period of significant downsizing, restructuring, and repositioning. Will initiate in 1996-97 with approximately twenty faculty members. During the pilot years, seven to ten reviews were conducted.
- Implementation of review in large departments will utilize random method to select faculty for review. Variables considered for selection included faculty in seventh year from last major, formal personnel action, and faculty with longest time since last formal review.

Outcome:
Unable to report successes or failures to date.

Problems With the Procedures:
No compelling "systems" problems with the cumulative review have been observed. However, Ithaca College has experienced significant downsizing in the last three years. As a result, there is both increased recognition of the need to be more accountable in the area of performance assessment and an accompanying skepticism about the future. This dynamic has made it difficult to create a groundswell of enthusiasm for post-tenure review. Some ask why it is needed, given the teeth that have been recently added to the annual review process, including the new policy for identifying and correcting instructional deficiencies uncovered through the annual review. Some went through the motions of the post-tenure review during the pilot phase, finding it difficult to disengage from past practices. However, the provost reports that accrediting agencies have helped focus campus attentions on the need for systematic ways to encourage and promote instructional excellence. In addition, the college has had good success in gaining grants to help faculty remain current in pedagogical methods and instructional technologies. By and large, faculty rely on colleague feedback about their performance, and perceive this feedback as useful.

Assessment of Effectiveness:
At Ithaca, it is too soon to assess the overall effectiveness of the post-tenure review system. Over time, it is hoped that student evaluations will improve and that senior faculty less than ten years from retirement will still actively participate in instructional technology workshops and access other forms of faculty development. In 1997, the provost, in conjunction with the faculty handbook amendment committee, plans to set up focus group to assess the effectiveness of the procedures

themselves and, in 1998, to survey faculty participants and reviewers to collect their opinions and perspectives regarding the benefits and outcomes of the process.

Old Dominion University

Norfolk, VA

Contact: Jo Ann Gora
Provost

The Institution:
Old Dominion University is a member of the State of Virginia's university system. It has a student body of about 17,000 and is considered a public, comprehensive metropolitan university. There are more than 600 full-time faculty; 60 percent have tenure.

Impetus for Post-Tenure Review:
Old Dominion University (ODU) has always had an annual review of all tenured faculty, with merit raises as the outcome. In October 1992, due to pressure from the board of visitors, the president began a process of revising the formal review of tenured faculty. There was much delay in the development of agreement between the faculty senate and the administration on a new post-tenure review proposal. The board of visitors desired a mandatory five-year comprehensive review for all faculty, but the faculty opposed this idea. Finally, the State Council on Higher Education for Virginia mandated that ODU adopt a new and more comprehensive policy. Once the faculty saw that the consequences of inaction could be much worse, the provost began to make headway in getting agreement on a new policy. It took eighteen months to obtain agreement on a policy statement, and then nine additional months to implement the policy. The new policy of triggered comprehensive post-tenure review was implemented in Fall 1994.

Development of Post-Tenure Review Statement and Procedures:
The specifics of the post-tenure review policy were developed through negotiations of the faculty senate, the Council of Deans, and the provost. The process involves two steps. First, all faculty are subject to an annual evaluation. The chair and the dean interpret the cumulative record of annual evaluations, along with the performance of the tenured faculty member during the previous year. Second, following this annual review, a more comprehensive and in-depth review is required. If a pattern of deficiency in the performance of a tenured faculty member is documented from the cumulative faculty evaluations for a period of at least two years, an in-depth evaluation is called for.

Purpose and Process:
The main purpose of post-tenure review is to provide both formative and summative evaluation of faculty. The formative evaluation is primarily seen in the annual evaluations. It is aimed at improving the performance of a faculty member on an annual basis. The second, more in-depth evaluation for the poor performers begins as formative but also has a summative component.

The main participants in the in-depth post-tenure review process are the department chair and the college dean. External evaluators may or may not be used.

Review Criteria:
The dean and chair assess the overall contribution of the faculty member to the university, along with teaching, research/scholarly activity, and service to the community. There are no uniform standards used across departments or schools; rather, the faculty member is evaluated in terms of that particular departmental mission and general pattern of performance.

Outcome:
A major outcome of the in-depth evaluation is an individual strategic plan that identifies the faculty member's expected long-range contributions to the university in specific areas. The plan specifically deals with ways to improve and correct the deficiencies in performance, and a timetable of at least one year is set for improvement. The faculty member may also be provided some resources for faculty development from the department budget or may request some from the dean.

After the stipulated time period is over, the faculty member is reevaluated by the chair to determine whether significant progress has been made in his or her performance. If the faculty member's progress is deemed satisfactory, then the faculty member is placed back in good standing. If not, then the chair or dean can recommend sanctions against the faculty member, including loss of tenure. Some may choose a buy-out and others, early retirement.

The faculty member has the right of appeal.

Number of Faculty Reviewed to Date:
The policy began in Fall 1994. Three faculty have undergone in-depth reviews. Moreover, twelve to fifteen have responded to early-retirement incentives.

Problems With the Procedures:
According to the provost, this is generally a good and acceptable policy. It is reasonable and not onerous, and the faculty had a clear role in its establishment. It has also created a general acceptance of accountability and developed a process that potentially can improve the performance of poor performers.

Assessment of Effectiveness:
Every year there is an evaluation of every faculty member. The provost monitors the use of the policy by the deans, and the goal is to improve teaching and research. The deans have indicated that, for the most part, there are very few poor performers on the faculty. This trigger device also keeps down the potentially high cost and burdensome nature of the process were it to be required of all tenured faculty.

Lessons Learned:
Provost Gora advises others that administrators who think that they can create a post-tenure review policy and procedure on their own will fail. There will necessarily be a long negotiating process between administration and faculty, and it is helpful to have outside pressure pushing to develop a policy that is much more intrusive than post-tenure review would be. During the stages of the negotiation with the faculty, the faculty must believe that the administration is serious about post-tenure review. The faculty will test the institution's resolve, and the administration must remain firmly behind the idea.

University of Colorado-Colorado Springs

Contact: Dr. Kenneth Rebman
Vice Chancellor of Academic Affairs

The Institution:
The University of Colorado-Colorado Springs is one of the main universities of the State of Colorado's university system. It is considered a regional doctoral-degree-granting institution, offering graduate and undergraduate programs, with a student body of 6,000. There are 200 full-time faculty, and 75 percent have tenure. (The institution is a relatively young and growing university with a relatively young faculty.)

Impetus for Post-Tenure Review:
The main impetus for post-tenure review for the University of Colorado system was the governor. He asked that the board of regents develop a systemwide policy of reviewing faculty with tenure. In the UC system, all personnel policies are systemwide; therefore, the board of regents developed a post-tenure review policy and the procedures to be followed.

Development of Post-Tenure Review Statement and Procedures:
It took one year from the initiation of the discussion of post-tenure review to final adoption of the policy statement and implementation of the procedures. The vice president for academic affairs of the UC system convened a meeting with the vice chancellors of academic affairs of the various campuses. Discussion among the members of this group produced the proposal for post-tenure review.

Purpose and Process:
The main purpose of the post-tenure review at the UC system as implemented at UC-Colorado Springs is formative. The post-tenure review evaluation is a five-year comprehensive review of all tenured faculty. Twenty (20) percent of the faculty are evaluated each year, and it must take place five years after their previous comprehensive review (e.g., for tenure or promotion).

The main participants in the in-depth post-tenure review process are the department head, a committee of peers, and the faculty member under review. The faculty member develops a written plan for his/her development in consultation with the department head. The faculty member's departmental peers and other faculty outside the department are involved in the review. The same committee writes a summary of the post-tenure review, and the faculty-development plan and the report are submitted to the appropriate dean and the vice chancellor of academic affairs. They both review these materials and both must accept the development plan.

Review Criteria:
The comprehensive review of tenured faculty members addresses accomplishments of the faculty member in teaching, research/scholarly activity, and service to the community. This cumulative review is distinguished from the annual review of all faculty in that the post-tenure review requires faculty and administrators to assess achievements and goals over a longer period of time and focuses more on longer-term growth and development. Departments set the criteria for post-tenure review under the general guidelines of the university and with the approval of the dean and vice chancellor of academic affairs. Uniform standards are not used across departments or schools, but rather the faculty member is evaluated in terms of that particular departmental mission.

CO

The evidence that is used consists of student and peer teaching evaluations, the annual reviews for the past five years, and supporting documentation for scholarship and professional activity.

Outcome:
A major outcome of the comprehensive evaluation is an individual development plan that identifies the faculty member's expected long-range contributions to the university in specific areas. The chair and dean both review this document and comment on it.

The faculty member has the right of appeal in writing to the dean and the vice chancellor of academic affairs according to usual university procedures.

Number of Faculty Reviewed to Date:
The policy began in Fall 1994, and several faculty have undergone post-tenure review.

Problems With the Procedures:
The main problem encountered at UC-Colorado Springs is that the post-tenure review decisions are taken less seriously and have less meaning than promotion and tenure decisions. Being a relatively young institution, it has not had the serious problem of unproductive tenured faculty. Hiring and tenuring decisions are deemed much more important.

Also, post-tenure review does not carry the same level of confidence and is viewed very differently by the various departments. Therefore, there is a lack of uniformity in its implementation, which at times seems pro forma.

The time-consuming nature of the process has not been a problem because the participants have elected to keep the process simple and to use the same review committees as the tenure and promotion committee.

Assessment of Effectiveness:
The vice chancellor of academic affairs, the deans, and the department heads monitor the effectiveness of post-tenure review. The VCAA prepares an annual report on post-tenure review, which is forwarded to the chancellor of UC-Colorado Springs and the system VPAA. UC-Colorado Springs is considering establishing a universitywide oversight committee to monitor faculty review and development efforts.

The VCAA believes that measuring effectiveness and making assessments of post-tenure review will come with experience. At present, post-tenure review is very infrequent and does not permit comparison across departments or even among years.

Lessons Learned:
Vice Chancellor Rebman pointed out that there should not be a stigma attached to post-tenure review. Rather it should be looked upon as developmental and applied to all tenured faculty. It is advisable to use the concept of post-tenure review in a CQI way and not let it become synonymous with multiple tenure review. He also suggested that the process must be kept simple and not be time-consuming.

University of Hawaii-Manoa

Contact: Dr. Carol Eastman
Executive Vice Chancellor, University of Hawaii-Manoa, and Senior Vice President for Academic Affairs, University of Hawaii

[Supporting information also provided by Dr. J.N. Musto, Executive Director, University of Hawaii Professional Assembly (NEA-AAUP Affiliate), and from published work by and discussions with Dr. Madeleine Goodman, formerly Assistant Vice President for Academic Affairs at the University of Hawaii (now deceased)]

The Institution:
The University of Hawaii has a student body of 49,895 and is considered a public, Research 1 comprehensive university, offering doctoral, master's, and baccalaureate degrees. There are 1,792 full-time faculty at the Manoa campus, of whom 55 percent have tenure.

Impetus for Post-Tenure Review:
Despite a 1981 Regential Policy that established guidelines for the periodic review of tenured faculty, agreement among the faculty senate, union, and the administration at UH-Manoa on the actual procedures was not reached until 1986, following a ruling by the Hawaii State Supreme Court upholding the right of the regents to implement this type of policy. The regents mandate was part of a larger call to provide evidence that resources allocated by the legislature to higher education and faculty salaries were being used wisely. Once the review procedures were drafted by the joint faculty-administrative committee at the Manoa campus, the union (UHPA) met with representatives of the community college chancellor's office and the administration of UH-Hilo and UH-West Oahu to prepare a functioning process for those institutions, as well. The negotiated faculty contract in Hawaii does not require annual reviews, and across-the-board cost-of-living and merit increments are negotiated by the union and allocated by the state legislature. Faculty can apply to the president for a special salary adjustment. In recent years, budget difficulties have mitigated against any substantial funding for salary increases.

While nine months of collaborative deliberations were required to develop specific procedures, the established process was guided by three important agreed-upon principles:

1. The review would not be a re-tenuring or de-tenuring process — it would not threaten a faculty member's tenure.
2. The review would take into consideration the nature of the individual's discipline/field of work and would use fair and reasonable performance expectation by rank as established and recognized by faculty peers in the related department or field.
3. The process would promote individual professional development. Institutional resources would be allocated for the purpose of faculty development.

The review process was initiated at Manoa in 1987.

Purpose and Process:
As designed, post-tenure review at the University of Hawaii identifies and remediates marginal performance. To that end, while it is a summative process, it has a strong developmental component and is not tied to merit or other type of incentives because of the belief that "tying post-tenure review to questions of merit adjustment automatically generates anxiety and competition" (Goodman, 1994; see **Resources**).

All faculty are reviewed on a five-year cycle unless they have been reviewed during that same time period for promotion or merit. The department chairperson conducts the review. No peer

committee is used. Faculty members assemble an "academic profile" consisting of a current curriculum vita and other materials documenting teaching, research, service, and other professional activities.

Review Criteria:
Each department establishes minimal expectations by rank in the areas of teaching, research, and service. These expectations must be consistent with campus norms for faculty activity at each rank. The department chair assesses evidence of performance as submitted against these collegially established expectations.

Outcome:
If the faculty member has met departmental minimal standards as judged by the department chair, the review is completed and the dean is informed. In those instances when the chair determines that deficiencies exist, the chair and faculty member develop a mutually agreeable professional-development plan approved by the dean, which addresses specific deficiencies. The faculty member can also utilize the help of a peer faculty-development committee in formulating a realistic improvement plan. When resources beyond the departmental level are needed, approval and agreement of the dean is also required; resources beyond the college level require vice-presidential approval. Each improvement plan includes identification of specific deficiencies, objectives (expected outcomes), activities, timelines for meeting expectations, annual review of progress, and sources of funding. When the faculty member, chair, and dean are not able to agree on specific features of the development plan, the issue(s) will be referred to the vice president for a determination as to which aspects of the respective proposals will constitute the approved plan. If there is no agreement between the faculty member and the chair about whether deficiencies exist, the case is forwarded to the dean, who can make a decision. If the dean decides there are no deficiencies, the process is concluded. If the dean agrees that deficiencies exist, then the faculty member can appeal to the vice president, who establishes a campuswide faculty evaluation committee to make a binding decision.

Number of Faculty Reviewed to Date:
Since implementation, all tenured faculty not eligible for merit or promotion have been reviewed. In the first review cycle (1987-92), about 4 percent of the faculty under review appealed the results to the Faculty Evaluation Review Committee. To date, the types of resources needed to support the professional-development improvement plans have not been excessive. For the most part, funds for travel, research, and workload adjustments have come from departmental sources. After two years, only half of the funds ($150,000) originally set aside for faculty development were used. The average grant awarded was around $4,500. Unfortunately, in the past couple of years, these special faculty-development funds have been redirected to subsidize budget shortfalls in other areas of the university.

Outcome:
Assessment of the process from 1987 and 1992 as reported by Goodman (1994) shows that of the 618 faculty reviewed, only 72 faculty members (11%) were required to file development plans. The outcomes were as follows:

Overcame deficiencies	6
Completed plan	22
Plan under way	24
Retired	20

In the first group of faculty reviewed, the retirement rate doubled from what it had been as a result of the uncapping of the retirement age in 1986, prior to implementation of post-tenure review. In

addition, grant submissions and resulting funding from such requests rose appreciably. To date, the prospect of direct disciplinary action, including dismissal, has not been invoked.

Problems With the Procedures:
Drs. Goodman and Eastman did not report significant problems with the review procedures. While they admitted that faculty, if asked, might express concern that remediation plans drain precious college resources, these administrators have not seen this happen. Dr. Eastman noted the inherent difficulty of not providing positive rewards for those judged to be performing well. Compensation is negotiated by UHPA; special salary adjustments are rare. Another recent difficultly has arisen because funds originally committed for faculty development have been redirected. However, efforts are under way to reestablish such resources and to reaffirm the importance and priority of faculty development.

Interestingly, initial campus reaction to the process raised concerns about the arbitrariness of a single reviewer (i.e., the department chair) and the role of mediator placed on the dean. Neither of these issues has proven to be problematic.

Assessment of Effectiveness:
Unlike most institutions, the University of Hawaii has had enough experience with the process to be able to track the results of its program. Former Assistant Vice President Goodman asserted that "... overall the program has tended to enhance faculty morale and the faculty's sense of purpose and engagement in their disciplines. Most faculty know that they are meeting the basic expectations of their colleagues, and a number who were paying insufficient attention to that issue now find that they can meet those expectations" (1994: 93). Executive Vice Chancellor Eastman believes the process is "extremely valuable." She comments that the process has become part of the community culture and has taken on a positive presence and life of its own without carrying an ominous reputation. In fact, one of the measures of effectiveness she uses is the fact that professional-improvement plans are developed and progress made on them without many in the community knowing the specifics. Faculty tend to either satisfactorily complete the plans or move out of the university through retirement or resignation. She notes that one important benefit of the process is the long-term view of performance and development it provides, particularly to career associate professors. She has no reservations about the process, but would like to see progress made universitywide on expanding the options available to chairs and faculty for changing the contractual mix of primary activities. In so doing, faculty would be better able to adjust their areas of emphasis either "from" or "to" more teaching or research.

Union leader Musto says the "process in general has accomplished some things in the university that would not have been given attention in the absence of these procedures" (Cohen et al., 1996). These include raising the priority given to faculty development; codifying departmental expectations in teaching, research, and service; adding credibility to faculty when dealing with external critics and funders; dispelling the general public notion of unproductive faculty; increasing faculty self-esteem; creation of improvement plans; and assuring students of ongoing quality improvement.

According to Eastman, the board of regents is generally pleased that the program is accomplishing its intended purpose. A report is given to the regents annually on the results of the review. Outcomes tracked include the number of satisfactory performers; number of required professional-improvement plans; reported progress on plans; resources committed to plans; retirements; appeals; and administrative sanctions.

Lessons Learned:
The process and the outcomes are dependent on the department chair and dean's ability to carry out the process in a conscientious and even-handed way. This was especially evident during the early years, when less specificity regarding what constituted a successful professional-development plan was given. Administrators learned the importance of the faculty member, chair, and dean's mutual assessment on the details. A standardized format was developed to eliminate vagueness or purposeful misunderstandings about what is to be accomplished. The dean must now approve all plans, because the dean controls the resources and can add continuity to the process.

Originally, the materials reviewed by the department chair were not intended to require extensive dossier preparation. However, this objective has not been uniformly met, and the executive vice chancellor indicated that in her view the amount of paperwork assembled is similar to that of a promotion and tenure portfolio. She believes it needs to be simplified.

Criticism of the process among faculty has not materialized and can be attributed to the consensual way in which all constituencies were involved in the development. The Hawaii experience illustrates that crafting a program that emphasizes accountability as well as commitment to tenure can be accomplished in a unionized setting thorough full partnership among the union, faculty senate, and administration.

University of Michigan-Dearborn

Contact: Dr. John Presley
Dean, College of Arts, Sciences & Letters

The Institution:
The University of Michigan-Dearborn is one of two regional campuses of the University of Michigan. It is a public, regional comprehensive university, offering master's and baccalaureate degrees in four schools and colleges. The student body is 8,200, and there are 225 full-time faculty, of whom 60 percent have tenure.

Impetus for Post-Tenure Review:
Unlike many other academic institutions, the initial impetus for post-tenure review at UM-Dearborn came from internal pressure from faculty. In the mid-1970s, the issues of fairness and the quality improvement of the faculty were raised. Faculty argued that senior faculty should be held to the same standards as junior faculty members, and that there should be a full-professors review process. So a system for the evaluation of full professors in the College of Arts, Sciences & Letters (CAS&L) was created in April 1978.

Development of Post-Tenure Review Statement and Procedures:
An Executive Committee within the college is responsible for tenure and promotion decisions. The associate dean of the college and a group of full professors initially developed a draft policy and procedures for the evaluation of full professors. The draft proposal was prepared in one semester (Spring 1974), and then the College Governing Faculty took a year for discussion and review of this draft. The first group of faculty were evaluated in 1977, and the policy was revised in 1978.

Purpose and Process:
The main purpose of post-tenure review is to provide for periodic formative evaluation of full professors. It is aimed at improving the performance of a faculty member. In the evaluation process, the review makes suggestions for improving weaknesses, and development funds may be requested of the dean. It also has a summative component to it. The faculty member may be requested to develop a work-improvement plan. In extreme cases, a faculty member may be subject to a follow-up comprehensive review after the post-tenure review evaluation. The main disciplinary actions applied to continuing poor performers are salary freezes and decrements. There is no policy of consequential dismissal.

The main participants in the post-tenure review process are a committee of peer faculty and the college dean. The college establishes an Ad Hoc Committee on the Evaluation of CAS&L Full Professors. The committee members are chosen by the dean, and the dean calls and chairs all meetings. But, the dean is restricted to the role of facilitator in the evaluation itself. There are four to six faculty committee members, one from each department represented by those who will be evaluated in the college. The dean of the college is responsible for collecting all material required for the review. One committee member *must* be an associate professor, all others *must* be full professors.

Review Criteria:
Faculty are reviewed in three areas of activity: teaching, research/scholarly activity, and service to the community. The college Executive Committee sets collegewide standard guidelines. The criteria and standards are the same as those for promotion and tenure. The critical criterion is teaching, and this

is evaluated via student and peer evaluations. Also, the faculty member prepares a long narrative about his/her teaching philosophy.

Other evidence that is used includes the faculty member's curriculum vita, a synthesis of past annual reports, student evaluations, and publications and other evidence of research and professional activities.

Outcome:
The Ad Hoc Committee prepares a written evaluation of the faculty member's performance. The committee's evaluation contains comments on performance strengths and weaknesses. In terms of weaknesses, the committee makes recommendations on corrective actions and, in extreme cases, may recommend a special evaluation for following years. A copy of the evaluation is sent to the faculty member, the department chair, and the dean. The faculty member under review may respond to the committee in writing regarding the evaluation and may discuss it with the dean.

The faculty member has the right to appeal the evaluation to the provost and VCAA, if the committee does not act on a direct appeal to it by revising the letter.

Number of Faculty Reviewed to Date:
The post-tenure review policy has had a twenty-year history, and about 100 evaluations involving fifty faculty have been completed.

Problems With the Procedures:
The dean of the CAS&L is generally satisfied with the post-tenure review process and believes that it has worked well over its twenty-year history. It is a relatively painless process. Members of the Ad Hoc Committee actually say they have enjoyed doing these evaluations. They have also been able to keep the process simple and not very time-consuming.

Assessment of Effectiveness:
There has not been any attempt at formally assessing the effectiveness of post-tenure review. The dean interviews selected faculty who have undergone post-tenure review, and generally finds a favorable impression. There is a feeling of general gratitude for the helpful suggestions from colleagues and an appreciation of collegial commitment in time and effort.

Lessons Learned:
According to Dean Presley, post-tenure review has had a really positive effect on the faculty. There is a sense of a real morale boost. Senior faculty often feel better appreciated for their efforts, and the junior faculty feel positive about the fact that the senior faculty are held to the same performance standard. Even faculty who have received very critical letters of their past performance have used the opportunity to improve themselves and enhance their professional standing. Dean Presley emphasized the importance of integrating the concept and process of post-tenure review within the context of the whole promotion and tenure system.

University of Wisconsin-Madison

Contact: Dr. Betsy Draine
Associate Vice Chancellor for Academic Affairs

The Institution:
The University of Wisconsin-Madison is the flagship research university of the University of Wisconsin state system. It is a very large graduate and undergraduate university, with a student body of about 40,000. There are 2,285 full-time faculty, and 80 percent have tenure.

Impetus for Post-Tenure Review:
In August 1992, due to pressure from the board of regents, the University of Wisconsin system was given a mandate to develop a policy of review of tenured faculty. The policy, which was systemwide, was to be implemented on a campus-by-campus basis and gave latitude to individual campuses in terms of the procedures utilized. Regents Guidelines specified that the purpose of the review was "to assure that the talents of each faculty member are invested in careers that serve the best interest of the students' institution, the academic discipline and the individual, and to assist tenured faculty in their continuing professional development" (System Board of Regents Policy, May 8, 1992).

The chancellor of UW-Madison wanted a collegial decision-making process and worked with a University Executive Committee of the faculty senate. It was made clear to the committee that its task was to decide not whether there would be a post-tenure review but rather what process would be created to meet the regents directive. The associate vice chancellor acted as the chancellor's liaison to this committee from the chancellor.

It took six months for the committee to draft a policy statement, and then two additional months for full discussion of the policy by the faculty. After approval, the policy was implemented the following year, in Fall 1993.

Development of Post-Tenure Review Statement and Procedures:
After the post-tenure review campus policy was formulated, each departmental executive committee developed its own procedures for post-tenure review. The review was to be for all tenured faculty members, comprehensive in nature, and to occur every five years. The purpose of post-tenure review was to assess periodically each faculty member's activities and performance in accordance with the missions of the department, college, and university and affirm that he/she was meeting his/her obligations to the State of Wisconsin.

Purpose and Process:
The main purpose of post-tenure review is to provide both formative and summative evaluation of faculty. The formative evaluation is primarily seen in the emphasis of the continuous improvement of faculty work. In the review of the evidence related to the faculty member's performance, deficiencies and weaknesses are determined. The faculty member develops a career plan for future professional development, which also addresses these perceived weaknesses.

The summative component of the post-tenure review is seen in the outcome from a negative review. When this occurs, a plan for remediation must be developed. Monitoring the faculty member's progress toward meeting this plan is undertaken. If there is insufficient progress within a stipulated period of time, the faculty member is subject to a disciplinary action or dismissal.

The main participants in this in-depth post-tenure review process are the department chair and one or more tenured members of the department faculty selected by the departmental executive

committee. No individual may serve as reviewer if the faculty member under review formally objects to the selection.

A report is written for review by the executive committee and a summary is shared with the faculty member under review. The faculty member has the opportunity to write a formal response to the summary. Both the summary report and faculty member's response are forwarded to the chair. The dean of the appropriate college or school receives a summary of all reviews. If the review is a negative one, the dean calls in the chair for consultation and asks the chair to meet with the faculty member to develop a faculty plan of action for improvement.

Review Criteria:
The chair and executive committee are to assess the overall contribution of this faculty member to the university, along with teaching, research/scholarly activity, and service to the community. There are no uniform standards used across all departments or schools; rather, the faculty member is evaluated in terms of that particular departmental mission and general pattern of performance.

Outcome:
A major outcome of the in-depth evaluation is an individual development plan that identifies the faculty member's expected long-range contributions to the university in specific areas. The plan specifically deals with ways to improve and correct the deficiencies in performance. The review committee can be helpful in the faculty member's development of the plan.

There is no separate appeals process of post-tenure review. The assumption is that the normal process of appeal will be followed, which involves the executive committee and then the dean.

Number of Faculty Reviewed to Date:
The new policy began in Fall 1993. After three years, 60 percent of the tenured faculty had undergone in-depth reviews.

Problems With the Procedures:
There are a few problems that have developed in the implementation of the post-tenure review policy. There had been some faculty resistance to post-tenure review initially, but this has been overcome. Many departments were very concerned about the time-consuming nature of the process, and so most have tried to do it in the least time intensive way. Some departments utilize their Tenure Review Committee as the post-tenure review body. Some go outside the executive committee and use an advisory committee. An issue that still remains is how seriously post-tenure review is taken by the various departments. And there is variability in the actual outcomes of post-tenure review.

Assessment of Effectiveness:
The major accountability measure used at the UW-Madison is the periodic review of each department, which takes place every five to ten years. In this way, the post-tenure review process is indirectly reviewed by the overall assessment of each department. More informally, the chancellor discusses with the deans the importance of post-tenure review and how they might evaluate its usefulness. No measures of effectiveness have been established. It appears, too, that some early retirements were brought about by the post-tenure review process.

Lessons Learned:
The primary lesson learned at UW-Madison is the importance in the developmental phase of having the voices of all constituents heard as early as possible in the process. Administrators are more successful if they understand what the concerns of the faculty are early. These concerns included fear of repercussions from engaging in the "wrong" kind of research or fear that post-tenure review would

be used as a device for forced retirement. The post-tenure review policy also needs to address the issue of academic freedom.

Associate Vice Chancellor Draine stressed the importance of presenting up front the faculty-development emphasis. She also pointed out the necessity to have departments take post-tenure review seriously. This is a particularly important function for the chair, and there may be a need for workshops for chairs to understand their role in faculty development and to provide feedback in a positive way and educate the faculty on faculty development.

Having every tenured faculty member participate in the post-tenure review process and review instead of only poor performers was also essential. This avoids the stigma of those who would otherwise be selected for post-tenure review and avoids the demoralization of the faculty members being reviewed.

RESOURCES

American Association of University Professors. "On Periodic Evaluation of Tenured Faculty." In *AAUP Policy Documents and Reports.* Washington, DC: AAUP, 1995.

Association of American Medical Colleges (AAMC). Report and materials from the conference "Tenure, Compensation and Career Pathways: Reexamining the Faculty Employment Relationship in Academic Medicine," McLean, VA, February 1996.

Andrews, Hans A., and Christine M. Licata. "Administrative Perceptions of Existing Evaluation Systems." *Journal of Personnel Evaluation in Education* 5, 1 (July 1991): 69-76.

Bennett, John B., and Shirley S. Chater. "Evaluating the Performance of Tenured Faculty Members." *Educational Record* 65, 2 (Spring 1984): 38-41.

Chait, Richard P., and Andrew Ford. *Beyond Traditional Tenure.* San Francisco: Jossey-Bass, 1982.

Chait, Richard P., and Jacqueline Ross. "Managing Faculty Resources Without Tenure: What's Next." Presentation at the Annual Meeting of the American Assembly of Collegiate Schools of Business, Los Angeles, April 1996.

Cohen, Howard, Richard Edwards, Madeleine Goodman, Christine Licata, and J.N. Musto. "Post-Tenure Review: From Policy to Practice." Presentation at the AAHE Conference on Faculty Roles & Rewards, San Diego, January 1996. (Session 44)

Corporate Leadership Council. *Post-Tenure Review Policies.* Washington, DC: Corporate Leadership Council, 1996.

Draine, Betsy. "Questions a Faculty Member Could Consider at the Time of Post-Tenure Review." Presentation at the Texas A&M-Kingsville Faculty Forum, May 1996.

Edwards, Richard. "Toward Constructive Review of Disengaged Faculty." *AAHE Bulletin* 47, 2 (October 1994): 6-7, 11-12, 16.

Felicetti, Daniel. "Post-Tenure Review as a Termination Mechanism." *Journal for Higher Education Management* 4, 2 (1989), 51-65.

Finkin, Matthew. "Tenure After an Uncapped ADEA: A Different View." *Journal of College and University Law* 15, 2 (Summer 1988a): 43-60.

———— . "The Tenure System." In *The Academic Handbook*, edited by A. Leigh DeNeef and Crawford Goodwin. Durham, NC: Duke University Press, 1988b.

Gebert, Kaylene A. "Report on Tennessee Board of Regents Policy on Faculty Development." Nashville, TN, September 1996.

Giles-Gee, Helen, and Nance Lucas. University of Maryland System Survey on Faculty Roles and Rewards in Higher Education. Baltimore, MD: University of Maryland, Office of Academic Affairs, 1994.

Goodman, Madeleine J. "The Review of Tenured Faculty at a Research University: Outcomes and Appraisals." *The Review of Higher Education* 18, 1 (Fall 1994): 83-94.

———— . "The Review of Tenured Faculty: A Collegial Model." *Journal of Higher Education* 61, 4 (July/August 1990): 408-424.

Harris, Beverly Jo. "The Relationship Between and Among Policy Variables, Type of Institution, and Perceptions of Academic Administrators With Regard to Post-Tenure Review." Doctoral dissertation, West Virginia University, 1996.

Hollander, Patricia A. "Evaluating Tenured Professors." *The Chronicle of Higher Education*, June 17, 1992: A44.

Johns Hopkins University. *Report of the Committee for the 21st Century*. Baltimore: Johns Hopkins University, 1994.

Johnson, Gail. "Post-Tenure Review: Practical Considerations." *Journal for Higher Education Management* 8, 2 (1993): 19-29.

Licata, Christine M. *Post-Tenure Faculty Evaluation: Threat or Opportunity?* ASHE-ERIC Higher Education Report, no. 1. Washington, DC: Association for the Study of Higher Education-ERIC, 1986.

———— . "Symposium on Post-Tenure Evaluation." *Thought and Action* 4, 1 (Spring 1988): 49-66.

———— , and Hans A. Andrews. "The Status of Tenured Faculty Evaluation in the Community College." *Community College Review* 18, 3 (1990): 42-50.

Licata, Christine M., and Jean A. Dowdall. "Post-Tenure Review: Is It Worth Doing?" Presentation to the American Association of University Administrators National Assembly, Chicago, June 1988.

Morreale, Joseph C. "Post-Tenure Review: An Analysis of Academic Experiences and Advice for Academic Administrators" American Council on Education Fellowship Research Report, July 30, 1996. Unpublished paper.

National Commission on Higher Education Issues. *To Strengthen Quality in Higher Education.* Washington, DC: American Council on Education, 1982. ED 226 646.

Neal, William G., Bruce W. Kimzey, and Sheldon R. Smith. "Implementing Post-Tenure Review in a Small College Environment." *The Department Chair,* Spring 1996, pp. 15-17.

Olswang, Steven. "Emerging Issues in Faculty Employment." Presentation at the Meeting of the American Association of State Colleges and Universities, Seattle, July 1996.

———— , and J. Fantel. "Tenure and Periodic Performance Review: Compatible Legal and Administrative Principles." *Journal of College and University Law* 7, 1-2 (1981): 1-30.

Portch, Stephen R., Nancy J. Kaufman, and Jacqueline R. Ross. "From Frog to Prince: From Post-Tenure Review to Faculty Roles, Development, and Rewards." *Change* 26, 4 (July/August 1993): 17.

Reisman, Bernard. "Performance Evaluation for Tenured Faculty: Issues and Research." *Liberal Education* 72, 1 (1986): 73-87.

Trower, Cathy A. "Tenure Snapshot." New Pathways Working Paper Series, no. 2. Washington, DC: American Association for Higher Education, March 1996.

Wesson, Marianne, and Sandra Johnson. "A Study of Post-Tenure Peer Review at the University of Colorado." Report to the Board of Regents of the University of Colorado. Boulder, CO, 1989.

Wilson, Sue J. "Faculty Post-Tenure Review: Perceptions of Chief Academic Officers of Public Four-Year Colleges and Universities Within the Region of the Southern Association of Colleges and Schools." Ed.D. dissertation, University of Alabama, 1995.

INSTITUTIONAL POLICIES CITED

Alfred University (Alfred, NY)
Handbook for Faculty, Administrative Staff and Technical Specialists, Section III.E. August 1986.

Arizona Faculties Council
Proposed Post-Tenure Review Plan, October 21, 1996. (As presented to Arizona Board of Regents, November 1, 1996)

Arizona State University, Main Campus (Tempe, AZ)
Proposed Post-Tenure Review Process. October 1996.

Arizona State University West (Phoenix, AZ)
Proposed Post-Tenure Review Process. October 1996.

Northern Arizona University (Flagstaff, AZ)
Post-Tenure Review Process Draft. October 16, 1996.

University of Arizona (Tucson, AZ)
"Procedures for Continuing Review." October 14, 1996.

Baylor College of Dentistry (Dallas, TX)
Promotion and Tenure Guidelines Document. 1995.

California State University System
Faculty Collective Bargaining Agreement Between California State University and California Faculty Association, Article 15.

Clarkson University (Potsdam, NY)
College Handbook, Section 5: Faculty Policies—Special Reviews of Tenured Faculty (5.5.D).

Colby-Sawyer College (New London, NH)
"Strengthening Faculty Professional Planning, Development and Assessment at Colby-Sawyer College." May 1995.

Faculty Tenure Proposal Committee: "Strengthening Institutional Flexibility as well as Faculty Development and Evaluation in a Small Independent College: Answers to Key Questions." October 11, 1995.

Commonwealth of Virginia
State Council of Higher Education for Virginia: Commission on the Future of Higher Education in Virginia: '94-'96. "Making Connections: Matching Virginia Higher Education's Strengths With the Commonwealth's Needs." 1996.

Drury College (Springfield, MA)
Faculty Handbook, Section C: Policies and Procedures for Administrative and Faculty Evaluation. August 1990.

Eastern New Mexico University (Portales, NM)
Faculty Handbook, Section V: Part 2: Periodic Review of Tenured Faculty. 1995.

Florida Board of Regents, State University System (SUS)
"Tenure Issues: Report and Recommendations" and "SUS Post-Tenure Review Program Draft." September 1996.

Georgia State University (Atlanta, GA)
"Excerpt From GSU Policy on Promotion, Tenure and Development for Tenure Track Faculty." 1995.

College of Arts and Sciences 1995-1996 Review Process for Tenured Faculty.

Governors State University (University Park, IL)
University Professionals of Illinois BOG Council Contract, Section 8.4D: Evaluation Procedures. September 1, 1990-August 31, 1996.

Illinois State University (Normal, IL)
Faculty Appointment, Salary Promotion and Tenure Policies, Section X: University Performance Evaluation Policies and Salary Increment Procedures. January 1, 1995.

Indiana University Purdue University Indianapolis (Indianapolis, IN)
Draft Policy on Post-Tenure Review. 1996.

Ithaca College (Ithaca, NY)
Faculty Handbook, Section 7.3: Evaluation of Faculty. August 1993.

Keene State College (Keene, NH)
Union Contract, Article IX.A.1.d.: Performance Evaluation.

Lafayette College (Easton, PA)
Faculty Handbook, Section 4.3.2.2: Review of Tenured Faculty.

Longwood College (Farmville, VA)
"Policy on Post-Tenure Review." (Approved by the Board of Visitors, April 22, 1995).

Middlebury College (Middlebury, VT)
College Handbook (Faculty Supplement), Section B: Rules of Appointment and Tenure, 1.f.iv-v. 1995.

Montana State University (Havre, MT)
Collective Bargaining Agreement Between Montana University System and Montana State University - Northern Federation of Teachers, Articles 7.6: Evaluation of Tenured Faculty, and 7.3: Peer Review Procedures. July 1, 1993-June 30, 1997.

Montreat College (Montreat, NC)
Faculty Handbook, Section 2.S: Procedures for Post-Tenure Review. July 1996.

North Dakota State Board of Higher Education
Proposed Revisions to *Policy Manual,* Section 605.1: Academic Freedom and Tenure; Academic Appointments, and Section 605.3: Nonrenewal, Termination or Dismissal of Academic Staff. April 25, 1995.

Northland College (Ashland, WI)
Faculty Handbook, Section 2.5.4.2: Evaluation of Tenured Faculty. February 1991.

Old Dominion University (Norfolk, VA)
Faculty Handbook, Section II: Policy and Procedures for Evaluation of Faculty. 1995-1997.

Oregon Board of Higher Education
Administrative Rules, Chapter 580, Division 21, Section 140: Post Tenure Review. June 5, 1978.

Pacific Lutheran University (Tacoma, WA)
Faculty Handbook, Faculty Personnel Policy: A.2. 1995.

Rutgers University (New Brunswick, NJ)
Post Tenure Review Procedure Statement (1994) and University Policy 60.12 (September 1978).

Seattle Pacific University (Seattle, WA)
Faculty Handbook, Sections 3.441, 3.442: Regular and On-Going Evaluations, Professional Development Plan. October 1991.

Southern Oregon State College (Ashland, OR)
Faculty Constitution, Article 5.280, Section H: Evaluation of Faculty. July 1993.

Springfield College (Springfield, MA)
Faculty Workplan Draft Documents. September 26, 1995.

St. Francis College (Brooklyn Heights, NY)
Faculty Evaluation and Enrichment Program Description. 1995.

State of New Mexico
Legislative Senate Bill 1131, Chapter 150: "Relating to Faculty Tenure; Requiring a Post-Tenure Review Process at State Baccalaureate Degree-Granting Educational Institutions; Providing for a Tenure Study; Declaring an Emergency." March 18, 1995.

State University System of Florida
Post-Tenure Review Program, Enclosure A. September 4, 1996.

Tarleton State University (Stephenville, TX)
Academic Council: "Approved Motion on In-Depth Review of Tenured Faculty." January 23, 1996.

Texas A&M University System
Policy Statement, "Post-Tenure Review of Faculty and Teaching Effectiveness," Section 12.06. Approved October 13, 1995.

Policy Statement 12.01 Modification: "Academic Freedom, Responsibility and Tenure." July 1996.

Texas A&M University-Kingsville
"Tenured Faculty Developmental Review." 1996.

Texas Christian University (Fort Worth, TX)
Letter From William H. Koehler, Vice Chancellor for Academic Affairs, to Academic Deans on Performance Evaluation for Tenured Faculty. October 1, 1992.

University of Alaska (Fairbanks, AK)
Alliance of Faculty Senate of the University of Alaska 1995 Report to Board of Regents on Tenure and Post-Tenure Review. May 17, 1995.

University of California-Davis (Davis, CA)
Office of Provost: Memo to Deans, Directors, Department Chairs, Members of Academic Senate, Re: "Implementation of Five Year Reviews (APM 200-0 and 220-80-b) Rationale and New Policy." August 19, 1993.

University of Hawaii-Manoa
Procedures for Evaluation of Faculty at UH Manoa. July 1995.

Memorandum from Dr. Carol M. Eastman: "1996-1997 Procedures for Post Tenure Review of Faculty at UH-Manoa, August 20, 1996."

University of Idaho (Moscow, ID)
Faculty-Staff Handbook, Section 4510: Faculty Tenure and Section 4515: Periodic Performance Review of Tenured Faculty Members. November 1991.

University of LaVerne (LaVerne, CA)
"Professional Development for Tenured Faculty Program Description." March 4, 1994.

University of Maine (Orono, ME)
Collective Bargaining Agreement, Article 10: Evaluations. July 1, 1993-June 30, 1997.

University of Maryland System
Policy on Comprehensive Review of Tenured Faculty. July 12, 1996 (a).

Council of University System Faculty: Principles for a Program Review of Faculty. 1996 (b).

University of Michigan-Dearborn (Dearborn, MI)
College of Arts, Sciences & Letters: Guidelines for Promotion and Tenure. 1984.

University of Minnesota System
Proposed Draft Policy Section 7A: Peer Review of Faculty Performance. 1996.

University of Montana (Missoula, MO)
Collective Bargaining Agreement, Article 17.000: Review of Tenured Faculty and Article 10.000: Unit Standards and Faculty Evaluation Procedures. July 1, 1993-June 30, 1997.

University of North Dakota (Grand Forks, ND)
Faculty Handbook, Section 8.1.1.1: Academic Tenure. May 1992.

University of Oregon (Eugene, OR)
Policy Statement 3.150: Post-Tenure Review, Faculty Legislation, April 6, 1977, as amended April 10, 1985.

University of Pittsburgh (Pittsburgh, PA)
Faculty Handbook, Article III: General Policies of Appointment and Tenure. September 1995.

University of Portland (Portland, OR)
Articles of Administration, Section 6.D: Periodic Review of Tenured Faculty. 1995.

University of Texas System
Guidelines for Periodic Evaluation of Tenured Faculty. November 1996.

University of Wisconsin System
Board of Regents: "Tenured Faculty Review and Development Policy." Policy 74-13. 1992.

University of Wisconsin-Madison (Madison, WI)
"Report of the Planning Committee on Tenured Faculty Review and Development." Faculty Document 989-15. February 1993.

University System of Georgia

"Recommendations on Implementing the Faculty and Staff Development Policy Direction." April 10, 1996.

"Faculty Development Report. University System Task Force on Faculty and Staff Development: Report of Faculty Work Group." 1996.

Utica College of Syracuse University (Utica, NY)

Memorandum From Thomas G. Brown, Dean and Vice President, to Full-Time Faculty, Re: "Post-Tenure Review Discussion and Professional Development Committee Operational Procedures." May 8, 1995.

Virginia Polytechnic Institute & State University (Blacksburg, VA)

Draft-Proposed Additions to *Faculty Handbook,* Section 2,10.4: Post-Tenure Review. December 1995.

Wayne State College (Wayne, NE)

Policy and Procedures for Faculty Evaluation. 1993.

Institutions Whose Policies Were Reviewed But Not Cited

Allentown College of St. Francis de Sales (Center Valley, PA)
Azusa Pacific University (Azusa, CA)
Brigham Young University (Provo, UT)
Bryn Mawr College (Bryn Mawr, PA)
Calvin College (Grand Rapids, MI)
College of Charleston (Charleston, SC)
College of the Ozarks (Clarksville, AR)
Columbia College (Columbia, SC)
Davidson College (Davidson, NC)
Florida International University (Miami, FL) *under consideration*
George Mason University (Fairfax, VA) *in process*
Golden Gate University (San Francisco, CA)
Mary Washington College (Fredericksburg, VA)
Prairie View A&M University (Prairie View, TX) *in process*
San Diego State University (San Diego, CA)
Smith College (Northhampton, MA) *in process*
Southeast Missouri State University (Cape Girardeau, MO)
Texas Wesleyan University (Fort Worth, TX)
Transylvania University (Lexington, KY)
University of Arizona (Tucson, AZ)
University of Arkansas for Medical Sciences (Little Rock, AR)
University of California-Santa Barbara (Santa Barbara, CA)
University of Delaware (Newark, DE)
University of Iowa (Iowa City, IA)
University of Pittsburgh, Johnstown Campus (Johnstown, PA)
University of Utah (Salt Lake, UT)
University of Wisconsin-Eau Claire (Eau Claire, WI)
University of Wisconsin-Green Bay (Green Bay, WI)
University of Wisconsin-Milwaukee (Milwaukee, WI)
University of Wisconsin-Oshkosh (Oshkosh, WI)
University of Wisconsin-Stevens Point (Stevens Point, WI)
University of Wisconsin-Whitewater (Whitewater, WI)
Villanova University (Villanova, PA)
Wingate University (Wingate, NC)

☐ **Yes, I would like to become part of a network of individuals interested in post-tenure review.**

Returning a completed form will make you part of a network forming under the auspices of AAHE's New Pathways Project.

Name _____

Title _____

Institution _____

Address _____

_____

Daytime Phone _____

Fax _____

Email _____

Check the one box that applies:

☐ My institution/system has an operational post-tenure review process in place.

☐ My institution/system is currently developing a post-tenure review policy.

☐ My institution/system is in preliminary discussions regarding post-tenure review.

☐ Other (please indicate):

_____

_____

_____

_____

_____

_____

Clip this form. Fold, staple/tape, affix postage, and **mail** (address on the reverse).

AMERICAN ASSOCIATION
FOR HIGHER EDUCATION
One Dupont Circle, Suite 360
Washington, DC 20036-1110
ph 202/293-6440, fax 202/293-0073

Affix
postage

AAHE's New Pathways Project
c/o Christine Licata
Associate Dean
Rochester Institute of Technology/NTID
LBJ Building 2845
52 Lomb Memorial Drive
Rochester NY 14623-5604

FORUM ON
Faculty
Roles &
Rewards

Fold in half, and staple/tape the top edges closed. Affix postage and mail.

NEW PATHWAYS:
FACULTY CAREERS AND EMPLOYMENT FOR THE 21ST CENTURY

WORKING PAPER SERIES

[For papers not yet available at press time, page counts and release dates are approximate]

New Pathways Series Package

The complete set of 14 Working Papers detailed below. Ensures that you receive each paper as soon as it is released. Order the Package and save more than $50 over the price of purchasing each paper individually! (#FROOWP)

Making a Place for the New American Scholar

by **R. Eugene Rice**, scholar-in-residence and director, Forum on Faculty Roles & Rewards, AAHE

Presents a richly textured vision of the role of the scholar in a rapidly changing, democratic America. Frames key questions to be addressed in rethinking and restructuring faculty careers. (#FRO1WP, 48PP, MARCH 1996)

Tenure Snapshot

by **Cathy A. Trower**, research associate, University of Maryland

Outlines current areas of concern, ongoing initiatives, and national trends related to academic tenure. Based on a November 1995 AAHE survey distributed to 1,200 four-year college and university provosts, with the intention of building an archive of information on current tenure policies, practices, and trends. (#FRO2WP, 32PP, MARCH 1996)

Where Tenure Does Not Reign: Colleges With Contract Systems

by **Richard Chait**, professor, Harvard Graduate School of Education; and **Cathy A. Trower**, research associate, University of Maryland

Presents the experiences of campuses without tenure and campuses where faculty may choose tenure or contracts. Issues covered include academic freedom, faculty recruitment, selectivity, turnover, and reward structures. Answers the question, "What lessons can be learned from campuses with contracts systems?" (#FRO3WP, APPROX 30PP, APRIL 1997)

New Yardsticks to Measure Financial Distress

by **Kent John Chabotar**, vice president, business and finance, Bowdoin College; and **James P. Honan**, lecturer, Harvard Graduate School of Education.

Offers suggestions for new criteria and yardsticks to gauge a college's financial condition, and identifies means to equitably balance employment security for faculty with programmatic flexibility for institutions.

(#FRO4WP, 38PP, AUGUST 1996)

Academic Freedom Without Tenure?

by **J. Peter Byrne**, professor, Georgetown University Law Center

Conceptualizes one or more procedures where academic freedom could be uncoupled from academic tenure — where some other means are offered to ensure the professoriate the unfettered opportunity to teach and conduct research — and explores the tradeoffs involved in doing so. (#FRO5WP, 25PP, JANUARY 1997)

Two Faculties or One? The Conundrum of Part-Timers in a Bifurcated Workforce

by **Judith M. Gappa**, vice president for human relations, Purdue University; and **David W. Leslie**, professor of education, College of William and Mary

Describes the dual labor market in academe, based on the authors' book *The Invisible Faculty*, data from the 1993 NCES Survey, and other sources. Focuses on the effect of the dual labor market on tenured and tenure-track faculty, part-time and temporary faculty, and institutions. Explores possible changes that would transform the dual labor market into a more flexible and integrated employment system. (#FRO6WP, APPROX 30PP, 1997)

PRICING INFORMATION

INDIVIDUAL PAPERS (EACH):	$10.00 EACH + $4.00 UPS SHIPPING (NONMEMBER) $8.50 EACH + $4.00 UPS SHIPPING (AAHE MEMBER)
	(MORE TO SHIP TO AK, HI, PR, AND FOREIGN ADDRESSES; CALL FOR RATES)
TOTAL COST FOR ALL 14 WORKING PAPERS, IF BOUGHT INDIVIDUALLY	$196.00 (NONMEMBER) $175.00 (AAHE MEMBER)
COMPLETE SERIES PACKAGE (ALL 14 PAPERS):	$140.00 (NONMEMBER), INCLUDES $21 POSTAGE $120.00 (AAHE MEMBER), INCLUDES $21 POSTAGE

Heeding New Voices

by R. Eugene Rice, scholar-in-residence and director, Forum on Faculty Roles & Rewards, AAHE; and **campus-based interviewers**

Reports on structured interviews conducted with new faculty and graduate students who will be the professoriate of the future. Considers what changes need to be made in the faculty career to make it more enticing, self-renewing, and resilient for the individual and to provide greater flexibility for institutions. (#FRO7WP, APPROX 48PP, 1997)

Balancing Personal and Professional Lives

by Judith M. Gappa, vice president for human relations, Purdue University

Examines the conflicts faculty face as they try to balance personal and professional lives throughout their careers; considers actions universities and colleges can take to help. Includes an overview of institutional leadership initiatives, policies, strategies, programs, and practices aimed at reducing the stress these conflicts cause and enhancing the performance and satisfaction of faculty. (#FRO8WP, APPROX 30PP, 1997)

Innovative Modifications of Traditional Tenure Systems

by Richard Chait, professor, Harvard Graduate School of Education

Examines policy changes within the confines of traditional tenure systems such as extended probationary periods, stop-the-clock provisions, and alterations to conventional policies governing the criteria for promotion and tenure.

(#FRO9WP, APPROX 30PP, 1997)

Off the Tenure Track: Six Models for Full-Time, Nontenurable Appointments

by Judith M. Gappa, vice president for human relations, Purdue University

Explores nontraditional, full-time faculty appointments that are being used as alternatives to traditional tenure-track faculty careers, and the academic and other reasons underlying their increasing use. (#FR10WP, 44PP, DECEMBER 1996)

Senior Faculty Career Transitions: A Developmental & Policy Issue

by Ann Ferren, associate professor of education, American University

Examines what influences senior faculty in making decisions about the timing of retirement. Focuses on the interaction between individual development and planning and institutional policies and planning. (#FR11WP, APPROX 30PP, 1997)

Post-Tenure Review: Policies, Practices, Precautions

by Christine M. Licata, associate dean for academic affairs, Rochester Institute of Technology, and **Joseph C. Morreale**, vice provost for planning, assessment, and research and professor of public administration, Pace University

Reviews current institutional policies and practices aimed at periodically evaluating tenured faculty. Topics examined include: campus goals for post-tenure review; specific evaluation criteria/procedures; implementation considerations and resource implications. Discusses the opportunities and difficulties associated with the initiation of such reviews, and how institutions handle measurement of outcomes and effectiveness. (#FR12WP, 90PP, MARCH 1997)

Practices in Other Professions

by Richard Chait, professor, Harvard Graduate School of Education, and **Cathy A. Trower**, research associate, University of Maryland

Explores employment arrangements in other professions such as law, medicine, and management and in think-tanks, to ascertain whether policies and practices in these settings have applicability and hold promise for higher education.

(#FR13WP, APPROX 30PP, 1997)

Voluntary Incentives to Forego Tenure

by David Breneman, professor and dean of education, University of Virginia

Helps answer the question, "What, if anything, would induce individual faculty to renounce tenure?" Develops approaches that could be used to understand the financial value that faculty assign to tenure and the relative appeal of various inducements to forego tenure. (#FR14WP, APPROX 30PP, 1997)

ORDERING INFORMATION — USE ACCOMPANYING ORDER FORM!

1. SAVE MORE THAN $50 OVER THE INDIVIDUAL PAPER PRICE BY ORDERING THE COMPLETE WORKING PAPER SERIES PACKAGE (ALL 14 PAPERS). UPON RECEIPT OF YOUR PACKAGE ORDER, PAPERS ALREADY RELEASED WILL BE SHIPPED IMMEDIATELY; FUTURE PAPERS WILL BE SHIPPED AUTOMATICALLY AS THEY ARE RELEASED.
2. ANY INDIVIDUAL WORKING PAPER CAN BE ORDERED AT ANY TIME; PAPERS ORDERED IN ADVANCE OF THEIR RELEASE DATES WILL BE SHIPPED AUTOMATICALLY AS SOON AS THEY ARE AVAILABLE.
3. TO GET THE DISCOUNTED MEMBER PRICE, PLEASE PROVIDE YOUR 7-DIGIT MEMBER NUMBER OFF A *BULLETIN/CHANGE* MAILING LABEL. (NOTE: AAHE IS AN INDIVIDUAL MEMBER ASSOCIATION; YOUR INSTITUTION CANNOT BE A MEMBER.)
4. AAHE DOES NOT ACCEPT RETURNS OR EXCHANGES. ONCE ORDERED, PACKAGES CANNOT BE CANCELLED OR REFUNDED.

AAHE PUBLICATIONS ORDER FORM

NEW PATHWAYS WORKING PAPER SERIES

□Dr. □Mr. □Ms. _____ □M □F

Title _____ Institution _____

Address □Work □Home _____

City _____ St _____ Zip _____ Daytime ph (_____)_____

I □am not / □am an AAHE member _ _ _ _ _ _ _ _ (7-digit number off *Change/Bulletin* label)

Item #	Item	Unit Price AAHE Member	Unit Price Nonmember	Qty	Subtotal
FR00WP	**Complete Working Paper Series Package** Includes all 14 papers listed below	$120.00 *(includes shipping for complete Package)*	$140.00		
FR01WP	Making a Place for the New American Scholar	$8.50 ea	$10.00 ea		
FR02WP	Tenure Snapshot	$8.50 ea	$10.00 ea		
FR03WP	Where Tenure Does Not Reign: Contract Systems	$8.50 ea	$10.00 ea		
FR04WP	New Yardsticks to Measure Financial Distress	$8.50 ea	$10.00 ea		
FR05WP	Academic Freedom Without Tenure?	$8.50 ea	$10.00 ea		
FR06WP	Two Faculties or One? Part-Timers	$8.50 ea	$10.00 ea		
FR07WP	Heeding New Voices	$8.50 ea	$10.00 ea		
FR08WP	Balancing Personal and Professional Lives	$8.50 ea	$10.00 ea		
FR09WP	Innovative Modifications of Trad. Tenure Systems	$8.50 ea	$10.00 ea		
FR10WP	Off the Tenure Track: Six Models	$8.50 ea	$10.00 ea		
FR11WP	Senior Faculty Career Transitions	$8.50 ea	$10.00 ea		
FR12WP	Post-Tenure Review	$8.50 ea	$10.00 ea		
FR13WP	Practices in Other Professions	$8.50 ea	$10.00 ea		
FR14WP	Voluntary Incentives to Forego Tenure	$8.50 ea	$10.00 ea		

SHIPPING: CIRCLE A SHIPPING METHOD AND ADD THE SHIPPING CHARGE ON LINE E – BUT ONLY IF YOU ARE ORDERING INDIVIDUAL PAPER(S)! (PRICE OF PACKAGE INCLUDES 3RD CLASS POSTAGE.)

DESTINATION	METHOD	INDIV PAPER SUBTOTAL (LINE B) $0-$25	$25-$100*
U.S.**	UPS GRND	$ 4	$ 6
	UPS 2ND DAY	$ 10	$ 12
	FEDEX OVERNITE	$ 22	$ 35
CANADA	1ST CL MAIL***	$ 6	$ 6
FOREIGN	1ST CL MAIL***	$ 20	$ 20

*LARGE ORDERS WILL BE BILLED ACTUAL SHIPPING COST. **AK, HI, PR MUST CHOOSE UPS 2ND DAY. ***CALL OR FAX FOR FASTER METHODS.

Books will be shipped as they become available.

Package $_____ A

Individual Paper(s) Subtotal $_____ B

(A + B) TOTAL $_____ C

DC Addresses ONLY, Add Tax 5.75% of Line C $_____ D

(Use table at left) Shipping $_____ E

AMOUNT DUE $ _____

Payment Method (F.I.D. #52-0891675)

□Check to "AAHE" encl. □Purchase order encl. □VISA □MasterCard □Bill me (AAHE members only)

Credit card number _____ Exp. date _____

Cardholder name _____ Cardholder signature _____

Mail/Fax to: AAHE Pub Orders, Box WPB12, One Dupont Circle, Suite 360, Washington, DC 20036-1110, fax 202/293-0073 **To Place Your Order by Phone, or For More Information:** Call 202/293-6440 x11.

ver 2/14/97